DOCUMENT RESUME

ED 222 434 SO 014 337

AUTHOR	Margerum, Barbara
TITLE	Citizen Participation in Santa Barbara City and County. A Study of Three Citizen Advisory Boards.
INSTITUTION	Center for Community Education and Citizen Participation, Santa Barbara, CA.
SPONS AGENCY	Field Foundation, New York, N.Y.; Mott (C.S.) Foundation, Flint, Mich.
PUB DATE	Sep 79
NOTE	121p.
EDRS PRICE	MF01/PC05 Plus Postage.
DESCRIPTORS	*Advisory Committees; *Citizen Participation; Federal Aid; Policy Formation; Program Evaluation; State Federal Aid

ABSTRACT

Three citizen advisory boards, designed to advise elected officials on how federal money should be spent locally, were examined. The Comprehensive Employment and Training Act (CETA) Planning Council, the Citizen's Task Force on Community Development Block Grants (two groups mandated by federal legislation), and the Human Services Commission (a group established by the Santa Barbara County Board of Supervisors) were studied. Objectives were to study what works to determine if the intent of the legislation as it pertains to citizen participation was being implemented, to determine what value and impact citizen participation has had on funding levels and/or patterns of spending in the federal program, and to make recommendations. Meetings and hearings of all three boards were observed and interviews were conducted with board members and staffs and with clients/consumers of the three programs. Background information on each board's structure and composition, their patterns of funding recommendations, and evidence on the impact they have had on funding were all gathered. General recommendations are that the public should be informed about advisory board roles, non-functioning members of advisory boards should be replaced, and industry, unions, and business should be urged to give released time for employees serving on governmental advisory boards. (Author/RM)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED222434

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)
X This document has been reproduced as received from the person or organization originating it.
Minor changes have been made to improve reproduction quality.
- Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

CITIZEN PARTICIPATION IN SANTA BARBARA CITY AND COUNTY

A Study of Three Citizen Advisory Boards

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
Barbara Margerum

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Center for Community Education and Citizen Participation
522 N. Salsipuedes St.
Santa Barbara, CA 93103

SANTA BARBARA COUNTY SCHOOLS OFFICE

by
Barbara Margerum

SO 014 337

Study and report made possible by grants from:

Field Foundation, New York City, New York
Charles Stewart Mott Foundation, Flint, Michigan

THE CENTER FOR COMMUNITY EDUCATION AND CITIZEN PARTICIPATION
William J. Cirone, Director
522 N. Salsipuedes Street
Santa Barbara, California 93103
(805) 963-8654

THE CENTER:

USES its institutional openness and resources to support people who wish to participate more fully in the decision-making process of governmental bodies: school district governing boards, county supervisors, state legislature, or Congress of the United States.

SERVES as an umbrella for participation programs developed by citizens.

OFFERS direct technical assistance and training to neighborhood councils, school advisory groups, PTA's and community-based organizations.

MONITORS the "citizen participation mandates" written into state and federal legislation.

ASSISTS community groups and governmental bodies to develop meaningful citizen participation programs.

COOPERATES with a national network of organizations working at the cutting edge of the citizen participation movement.

ACTS as a local clearinghouse for information on citizen participation mandated programs.

Copyright ©*1979 by* Barbara Margerum and the Center for Community Education and Citizen Participation.

Designed and edited by Harry Reese.
Printed by Santa Barbara County Schools Office.
First printing, September 1979.

CITIZEN PARTICIPATION IN SANTA BARBARA CITY AND COUNTY

TABLE OF CONTENTS

INTRODUCTION i

GENERAL FINDINGS iv

Chapter I

COMPREHENSIVE EMPLOYMENT & TRAINING ACT (CETA) PLANNING COUNCIL

Recommendations for Change 1

A Survey of the CETA Planning Council 6

Chapter II

HUMAN SERVICES COMMISSION

Recommendations for Change 27

A Survey of the Human Services Commission 34

Chapter III

CITIZENS's TASK FORCE ON COMMUNITY DEVELOPMENT BLOCK GRANTS

Recommendations for Change 65

A Survey of the Citizens' Task Force 70

GENERAL RECOMMENDATIONS FOR ADVISORY BOARDS 101

APPENDIX A and B

ABOUT THE AUTHOR

BIBLIOGRAPHY

"There probably comes a time in the growth of any new field when, after the initial outburst of enthusiastic activity, a breathing period of evaluation sets in."

Edward A. Suchman, Evaluative Research, Principles and Practice in Public Service and Social Action Programs, Russell Sage Foundation, 1967.

The Center, as an advocate for citizen participation, recognizes the need not only to advocate for meaningful participation, but also to evaluate such activities. The evaluation undertaken by the Center addressed itself to citizen participation programs that were established and implemented as a result of legislative mandate, and to citizen participation programs that were initiated by citizens and their elected officials.

The objectives of the evaluation were to study what works and what doesn't, to determine if the intent of the legislation as it pertains to citizen participation was being implemented, to determine what value and impact citizen participation has had on funding levels and/or patterns of spending in the Federal program, and to make corrective and positive recommendations.

Three citizen advisory boards, all designed to advise elected officials on how Federal money should be spent locally, were examined in depth. Two of the Boards---the Citizens' Task Force on Community Development Block Grants and the CETA Planning Council---are mandated by the Federal legislation. The third board, the Human Services Commission, is not mandated, but was established by the Santa Barbara County Board of Supervisors as a result of local citizen efforts to bring greater citizen participation in to the County's Social Service and General Revenue Sharing allocation process.

It should be made clear that the study focused only on the citizen participation aspect of these federal programs. It should also be noted that the very nature of the citizen advisory board is one of constantly changing dimensions. The ebb and flow of activities and participants simply accentuates the fluid nature of the whole process.

Meetings, committee meetings and hearings of all three boards were observed for a period of six months (January 1979 through July 1979). Interviews were conducted during that period, with a majority of the members of each of the three boards, their staffs and the elected officials to whom they reported. In addition, clients/consumers of the three programs were interviewed. (See Appendix A.) Background information on each of the board's structure and composition, their patterns of funding recommendations, and where possible, evidence on the impact they have had on funding, were all gathered.

As a result of the interviews the evaluation is able to present the views of all the concerned "players" in the process: the citizen advisory board members, the staff that works with the advisory board, the elected officials and the clients of the federal programs. Their views and perceptions were sought on a number of specific areas, including:

1) *broadness of representation on the citizen board*
2) *the need for training and/or orientation for members of the citizen boards*
3) *their evaluation of the funding process*
4) *their opinion of the impact they feel the citizen advisory board has had on the funding level and/or pattern of funding*
5) *the extent to which the citizen advisory board has been involved in carrying out their prescribed goals and objectives*
6) *their recommendations for changes in the process.*

The study offered an excellent opportunity to compare views of the key participants to see if any "common threads" emerged. The range of views, the suggestions for change, and the evidence of the impact the advisory boards have had, formed the basis for the recommendations in this report.

Each advisory board is examined separately in the sections to follow. Recommendations for change are summarized as an introduction to each section. A number of recommendations have broad application for all advisory boards and are presented at the conclusion of the paper.

It is our hope that the study will provide a public service by illuminating the process, identifying the issues, establishing a public dialogue and offering recommendations that, if adopted, will not only offer greater opportunities for citizen participation but will increase the value and impact of such participation.

GENERAL FINDINGS

As the three advisory boards selected for this survey were examined, a number of criteria for measuring their effectiveness emerged as common to all three of the boards. Through observation, evidence and perceptions of those interviewed, it was found that for an advisory board to have maximum effect as a vehicle for citizen participation, and to have a measurable impact on governmental decision-making, the following criteria should be considered:

1) *There is clear and consistent agreement among all those involved in the process on what the goals and objectives of the advisory board are and what role the advisory board will play in the process.*

2) *There is a real understanding by all parties of the advisory boards' processes at all stages, plus a demonstration that these processes are open.*

3) *There is a demonstration that actions and recommendations of the advisory board are arrived at in an objective manner and with maximum factual information considered in the decisions.*

4) *There is a strong effort to insure that broad citizen input has been sought and has been a factor in the decision-making process. This would include such factors as broadness of representation of the advisory board itself, serious efforts at outreach to the community throughout all stages of the program, encouragement of public input at all meetings, hearings, etc., and a sensitivity to the community needs.*

5) *There is the demonstrated ability and willingness of the staff and the advisory board to work together in a mutually arrived at process in a spirit of mutual respect.*

6) There is a widespread belief and evidence that the elected officials to whom the advisory boards report have considered the citizen input an integral and necessary part of their decision-making.

As the three targeted advisory boards are examined in the remainder of this report it becomes clear that each has deficiencies to some degree in one or more of these measures of effectiveness.

CETA PLANNING COUNCIL

TABLE OF CONTENTS

Recommendations for Change - A Compilation 1

I. When was the CETA Planning Council formed? 6

II. Why was the CETA Planning Council formed? 6

III. The Federal Mandate for Citizen Participation 6

IV. The Composition and Structure of the CETA Planning Council 7

Summary of Interviews and Recommendations for Change 7

I. Representation 7

II. Conflict of Interest 9

III. Training and Orientation 13

IV. Staff/Planning Council Relationship 15

V. CETA Planning Council's Impact on Funding 19

VI. Process of Recommending Funding 21

VII. Monitoring 24

CETA PLANNING COUNCIL

"The political system is open to citizen influence, but getting through means knowing how to play the game of American politics. It means knowing how to analyze a problem and establish goals; how to develop a strategy and select appropriate tactics; how to identify the players, both allies and opponents, and their resources; and how to use information to assess the likely moves of the other players. Finally, playing the game successfully means knowing the rules of the game---particularly the ones that are likely to help."

Susan Rouder, American Politics: Playing the Game.
Boston: Houghton Mifflin Company, 1977.

CETA PLANNING COUNCIL

RECOMMENDATIONS FOR CHANGE

In the spirit of increasing the value and impact of the CETA Planning Council as an avenue for citizen participation, the following recommendations for change are offered. They are a compilation of the recommendations which will be found in context throughout the remainder of this section on the CETA Planning Council.

RECOMMENDATIONS - On Representation and Conflict of Interest

The council and staff should continue to alert the Board of Supervisors to categories required by the law that are open on the council. Greater effort should be made to get meaningful representation by both business and labor. Despite the recent formation of a CETA Private Industry Council, this input would be very valuable to any employment and training program, even if the vast majority of the allocation is earmarked for public sector.

The lack of active participation by all council members has been especially acute with past councils, resulting in a few members carrying a disproportionate share of the workload and the responsibility and often, therefore, having a disproportionate impact. The supervisors should be urged to replace non-functioning members of the council. The council should carefully re-evaluate its own workloak, length and efficiency of meetings, time of meetings, and other factors which might serve as inhibitions to representation by people outside the public sector category.

The conflict of interest guidelines should periodically be reviewed by the planning council and staff, and should be a prominent part of the orientation program for new members. With the influx of new members, both they and the senior members of the council would benefit from reaffirmation of the need to eliminate any conflict of interest on the part of council members, and as importantly, the appearance of any conflict of interest. Both sections 2.0 and 2.1 of the adopted guidelines (See Table I) which relate to disclosure should be more closely and more publicly adhered to than they are now.

An additional conflict of interest guideline should be discussed and formally adopted by the planning council. This would involve requiring a specified time lapse (e.g. six months to one year) before any member of the planning council could be hired by, or act in any official capacity with, any project recommended for funding by the planning council on which that member sat.

RECOMMENDATIONS - On Training and Orientation

Despite the lack of clear-cut identification of and expressed need for training elicited from those interviewed, it is evident from observing CETA Planning Council meetings that all the members of the council could benefit from training in the area of how to plan and carry out goals. Problems of inefficient meetings have repeatedly been identified by the council and plans have been adopted for correcting the situation. Rules for Discussion (See Table II) were posted at planning council meetings shortly after their November staff/council retreat. For several meetings thereafter, the "rules" were posted and an effort was made to use them as a guide in moving the agenda. However, after a few months, not only were the "rules" no longer posted, there was little attempt to follow them. Agendas slipped hopelessly behind schedule and once again one saw important issues being hastily considered or postponed.

It is recommended that the total planning council arrange to have some intensive training in meeting effectiveness.

RECOMMENDATIONS - On Staff/Planning Council Relationships

Agreement on and clarification of the roles of the staff and the planning council would do a great deal to lessen tensions and misunderstandings between the two. This has been the subject of several meetings and although a series of actions designed to improve council/staff interface was recently adopted by the council, the problems have not been satisfactorily solved.

Until there is a greater degree of mutual trust and respect between the council and the staff, proposed corrections will continue to be unworkable. The staff and council should continue to work toward greater mutual trust, and it is recommended that sessions between the two groups be held specifically to address that issue, with skilled facilitators conducting each session.

Staff should make a greater effort to give the planning council critical and necessary information with as much lead time as possible, especially as it relates to projections of funding in the various CETA titles. With the delays and uncertainties of federal appropriations and legislation it is difficult, but a high priority should be placed on seeing that the council is promptly and fully informed. Better planning and better communication with the CETA constituency could then be achieved.

It is recommended that one member of the CETA staff be designated as the official liaison between the staff and the planning council. This person's other staff responsibilities should be limited so that ample time could be devoted to keeping the planning council fully informed, for planning with them, for answering their questions and concerns, for handling any staff/council misunderstandings and for setting up a series of training sessions.

RECOMMENDATIONS - On Impact of Funding

It is recommended that the CETA Planning Council, in consultation with the CETA staff, set up an ad hoc advisory committee made up of program operators and CETA project directors. It would be the responsiblity of this ad hoc advisory committee to work with the CETA Planning Council and staff to devise a set of procedures and guidelines for the CETA Planning Council to follow in their application and recommendation process and in their monitoring and evaluation of on-going programs. These working procedures should then be published, widely distributed and used as the basis for workshop training sessions. Only by such a thorough and mutual re-examination of the current process can the credibility of the council be established.

Members of the community and members of the council would reap the benefits of this effort. The community would know what to expect, when and how public input could be made, how decisions are made, what criteria are used, what funding is available, and would feel more confident about planning council decisions. The council would maximize its time and efficiency by being more willing to accept their own committees' recommendations with a confidence in the process that has been lacking.

If such an effort as described above is seriously undertaken and then followed through, the planning council could truly be said to be an "avenue" for citizen participation, not a "cul-de-sac" where the citizen often ends up going around in circles. There has been a noticeable and heightened awareness on the part of the planning council leadership of the need to facilitate community input. This is commendable but the "when" and the "how" of such input is equally important.

RECOMMENDATIONS - On Monitoring of Programs

The planning council should assume a much greater role in formal monitoring of programs, but only after a good process and criteria are adopted and understood. A process for devising a set of working procedures is covered in earlier recommendations.

COMPREHENSIVE EMPLOYMENT AND TRAINING ACT (CETA) PLANNING COUNCIL

I. When was it formed?

The CETA Planning Council in Santa Barbara County was established on February 4, 1974.

II. Why was it formed?

It was established to satisfy the requirements of CETA for citizen participation.

III. The Federal Mandate for Citizen Participation

The act requires that the prime sponsor (Santa Barbara County) establish a planning council consisting of members who are representative of the client community and of community-based organizations, the employment service, educational and training agencies, business, labor, veterans' organizations (as a temporary member) and representatives of the handicapped.

It is the responsibility of the planning council to recommend plans, goals, policies, and procedures, and also to monitor and evaluate the progress of such programs. Final decisions are to be made by the prime sponsor. In addition a Youth Council must be established under the planning council consisting of members who are representative of the client community. The Youth Council is responsible for making recommendations to the planning council with respect to the planning and review of Youth Employment and Training Programs under CETA.

In addition to the establishment of a planning council the act requires that the prime sponsor publish a summary of the grant application package, including allocation of funds, in a newspaper or newspapers which will provide for a general circulation throughout the area to be served by the prime sponsor.

IV. The Composition and Structure of the CETA Planning Council

Currently the planning council is a sixteen member board, with three members appointed by each of the five supervisors, plus an additional appointee to represent veterans' organizations. The council elects a Chairperson and a Vice-Chairperson. The council recently reconstituted its committee structure and now has the following committees: *Planning and Evaluation, Community Information, Monitoring, and Proposal Review.*

They recently adopted a policy of limiting members voting participation to two committees.

SUMMARY OF INTERVIEWS AND RECOMMENDATIONS FOR CHANGE

I. REPRESENTATION OF CETA PLANNING COUNCIL

Advisory board members, staff and elected officials (See Appendix A) were asked how they felt about the breadth of representation on the CETA Planning Council. They were asked if they felt there was over-domination or under-representation by any group, philosophy or category. In connection with the representation they were also asked if they felt there were *problems of conflict of interest by members of the Planning Council.*

A. PLANNING COUNCIL - Views

All members mentioned some degree of concern about the broadness of the representation on the planning council, even those who initially responded by saying they were basically satisfied with the representation. Two members said they felt minority interests were over-represented. Three members mentioned the lack of business participants.

Other categories mentioned as being under-represented were blue-collar worker. low-income, and "hard core" poor. One member felt very strongly that there was over-representation from the public sector with very few on the council who were not agency or public sector representatives.

In connection with representation, a number of council members pointed out the time factor, both the extraordinary amount of time the council demanded and the day-time meetings, as a limit to breadth of representation.

Also, as others pointed out, given the federal law's mandate for membership categories to be filled on the council, it was difficult to avoid public sector predominance on the council.

B. STAFF - Views on representation

The staff was unanimous in feeling that there was a lack of broad representation or even certain mandated categories present on the council. The lack of business and labor representation has been a continuing problem, they felt. They all mentioned the amount of time and the timing of the meetings as factors which inhibited representation. They felt that the lack of full representation was compounded by the fact that only the same few members do a major amount of the work, and that those few have traditionally been from agencies and situations which will allow them to spend the huge time blocks that their intensive involvement entails.

C. BOARD OF SUPERVISORS - Views on representation

The members of the Board of Supervisors expressed no great concern about the breadth of representation on the planning council, but did mention the over-representation by minorities, males and "agency people" when asked if they felt there was over-representation by any category.

II. CONFLICT OF INTEREST

A. PLANNING COUNCIL - Views on conflict of interest

Although the majority of the planning council members interviewed admitted that a conflict of interest problem existed to some degree simply because so many of the council were directly involved with community-based organizations and government, no one on the council felt it was a serious problem. They made such comments as:

1) "it's inevitable, part of the system"
2) "the diverse interests of 16 members tend to offset one another"
3) "we act as a check on one another"

B. BOARD OF SUPERVISORS - Views on conflict of interest

The majority of the Board of Supervisors expressed no concern about conflict of interest on the part of the planning council members, adding that they had heard only very occasionally of such concerns from the community.

One member did, however, feel it was a real problem. He felt that recipients or potential recipients on the planning council appearing before the board pushing for their own job, or funding for a project in which they hoped to become employed, constituted a conflict of interest.

Another member, while acknowledging the problem of having on the planning council so many agency people who were all strong advocates of their programs, felt this was not a problem because the Board of Supervisors had the final authority. He felt the board served as a check on any conflict of interest. One member, while not the recipient of any complaints, felt that the appearance of a conflict of interest, whether it existed or not, affected the planning council's credibility.

C. STAFF - Views on conflict of interest

Those on the staff interviewed were unanimous in agreeing that conflict of interest on the part of planning council was, from their view, a real problem. At the same time they acknowledged that the mandate of the legislation, plus the fact that there are over 250 CETA contracts in the county, made it difficult to avoid.

They felt that conflict of interest took a number of forms, the most obvious being that of planning council members who ended up running CETA programs or were directly hired by CETA programs---programs which the planning council, on which they sat, recommended be funded.

Staff expressed the concern that funding recommendations were sometimes based on the "pet project" syndrome, on regional considerations, and on emotion rather than merit. In their opinion, guidelines on conflict of interest (See Table I) adopted by the planning council are usually adheared to; but much discussion, lobbying and subtle vote trading goes on, according to one staff member. The credibility of the planning council, they felt, is tarnished in the process.

TABLE I

Conflict of interest guidelines adopted by the CETA Planning Council March 28, 1977.

1.0 The purpose of establishing guidelines regarding conflict of interest is to provide a framework for adherance to policies of the Board of Supervisors acting as Prime Sponsor of programs under the Comprehensive Employment and Training Act of 1973 (CETA).

2.0 Appointees to the CETA Planning Council may represent agencies who are recipients of CETA funds or applicants for CETA funds only under the following conditions:

2.1 Council members shall disclose their relationship with agencies or organizations with whom they are associated should such agency be a recipient of or applicant for CETA funds.

2.2 The disclosure must be made to the Chairperson at the time any issue or discussion which relates to the agency or organizations is before the Council.

2.3 Council members shall not vote on any matter which has direct bearing or services to be provided by that member or any agency or organizations with which that member is associated.

3.0 Council members should also be sensitive to possibility of conflict of interest when discussion or vote on any matter pertains to organizations with whom they or their organization have relationships involving funds or services not provided under CETA.

RECOMMENDATIONS

(Representation and Conflict of Interest)

The council and staff should continue to alert the Board of Supervisors to categories required by the law that are open on the council. Greater effort should be made to get meaningful representation by both business and labor. Despite the recent formation of a CETA Private Industry Council, this input would be very valuable to any employment and training program, even if the vast majority of the allocation is earmarked for public sector.

The lack of active participation by all council members has been especially acute with past councils, resulting in a few members carrying a disproportionate share of the workload and the responsibility and often, therefore, having a disproportionate impact. The supervisors should be urged to replace non-functioning members of the council. The council should carefully re-evaluate its own workload, length and efficiency of meetings, time of meetings, and other factors which might serve as inhibitions to representation by people outside the public sector category.

The conflict of interest guidelines should periodically be reviewed by the planning council and staff, and should be a prominent part of the orientation program for new members. With the influx of new members, both they and the senior members of the council would benefit from reaffirmation of the need to eliminate any conflict of interest on the part of council members, and as importantly, the appearance of any conflict of interest. Both sections 2.0 and 2.1 of the adopted guidelines (See Table I) which relate to disclosure should be more closely and more publicly adhered to than they are now.

An additional conflict of interest guideline should be discussed and formally adopted by the planning council. This would involve requiring *a specified time lapse (e.g. six months to one year) before any member of the planning council could be hired by, or act in any official capacity with, any project recommended for funding by the planning council on which that member sat.*

III. TRAINING AND ORIENTATION

The planning council and staff were asked what kind of orientation they had received or felt members should receive when they were asked to serve on the planning council. They were also asked if they felt there were any areas in which training would help the planning council to be more effective.

A. PLANNING COUNCIL - Views on training and orientation

Most members interviewed reported receiving a very thorough orientation/briefing, usually from the CETA administrator which often included a cassette show and a manual of background on the legislation.

Several retreats for staff and the planning council have been held in recent years. The latest retreat (November 1978) included some technical education, but the agenda dealt largely with council and staff interface, the issue of full council participation, efficiency of council meetings, public relations, improvements in planning and procedures and clarification of roles of staff and planning council. Those who attended this session said they found it useful and helpful. A series of recommendations for addressing some of their concerns grew out of this meeting.

Several mentioned the need for greater information from the CETA office about CETA training sessions in other areas and the need for planning council members to attend them.

There was no clear consensus among the council members that any area of training was needed, although one member mentioned the need for sensitivity training especially regarding cultural differences and women, and another believed that some CETA staff needed training in how to work with the council.

B. STAFF - Views on training and orientation

The staff felt that the orientation given to new members was very thorough and also necessary in a program as complex as CETA. As for training, no strong areas of agreement emerged from the staff. Several mentioned the need for the chair of the planning council to act more as a mover of the agenda, and as an unbiased mediator. One staffer went on to say that the chair was too often involved in the outcomes of the decisions and this inhibited the efficiency of the meetings and the effectiveness of the chair.

RECOMMENDATIONS

Despite the lack of clear-cut identification of and expressed need for training elicited from those interviewed, it is evident from observing the CETA Planning Council meetings that all the members of the council could benefit from training in the area of how to plan and carry out goals. Problems of inefficient meetings have repeatedly been identified by the council and plans have been adopted for correcting the situation. Rules for Discussion (See Table II) were posted at planning council meetings shortly after their November staff/council retreat. For several meetings thereafter, the "rules" were posted and an effort was made to use them as *a guide in moving the agenda. However, after a few months, not only were the "rules" no longer posted, there was little attempt to follow them. Agendas slipped hopelessly behind schedule and once again one saw important issues being hastily considered or postponed.*

It is recommended that the total planning council arrange to have some intensive training in meeting effectiveness.

IV. STAFF / PLANNING COUNCIL RELATIONSHIPS

A. PLANNING COUNCIL - Views on relationships

Although a few members interviewed said they supported the staff and were upset at what they thought was unjustified lack of trust of staff on the part of many planning council members, the majority said they felt the relationship was far from ideal. Some said they thought this adversary situation was healthy, and a number said that the "marriage", though full of ups and downs, was evolving into a better understanding of one another.

There was general agreement though, that there was a lack of clarity about their respective roles. A number of members expressed ideas about the power of the council; that they were too "self-important" and that they "overstepped their role". This was partially confirmed by one member who said, "the planning council has considerable power, and the staff realizes it".

One member expressed concern not so much about the planning council's relationship with staff, but the staff's attitude toward citizens' groups and program operators. The staff frequently "stonewalled" a group, by saying "YES" to requests but then endlessly stalling.

TABLE II

Rules for Discussion - CETA Planning Council RE: Agenda Items

1. Introduce issue (Chair)
    - A. Subcommittee comment
    - B. Staff comment
2. Discussion on issue (limited to questions on issue) 5 - 10 minutes.
3. Request public input.
4. Chair invites motion.
5. Comments against motion - 5 minutes.
6. Comments for motion - 5 minutes.
7. Request public input.
8. Vote on whether to continue discussion.
9. Vote on motion.

Some planning council members felt there was "anarchy" among the staff, and said that if staff disagreeded about a planning council decision, they just didn't follow through on it. These same council members felt that since there was no management plan for follow-through, such problems, were not discovered, let alone addressed.

B. STAFF - View of relationships

Most of the staff interviewed felt quite strongly that the relationship was one of mistrust and friction. They felt this was largely due to the lack of understanding of what the planning council's role and areas of responsibility were and the planning council's misunderstanding of staff's role. One member said there was great distrust of staff and unwillingness to use staff expertise since the council wanted all decisions to be "their" decisions.

Illustrative of some of the staff response to this area of concern are these quotes:

1) "The planning council thinks they are the Prime Sponsor and are often encouraged in this by the supervisors, who often abdicate their role because of their lack of knowledge";

2) "Planning council is on a 'power trip' ";

3) "Council allotments of time are not always proportional to importance of issue---15 minutes given to approve $800,000 Youth programs, and 2 hours discussion on 2 CETA positions";

4) "They tend to get too involved in administration matters instead of broad policy-making".

Comments weren't all negative; for example: "I may sound cynical, but I firmly believe in citizen participation, and feel all the frustrations and problems are worth it". And, as one staffer put it, the creative tension that existed did not carry over in to personal one to one relationships. Another staffer summed it up this way: "I'm most concerned in my job about the following and in this order, 1) clients 2) program operators 3) my staff 4) planning council and 5) Board of Supervisors, but, the order is completely reversed in whose needs get me first".

C. STAFF/PLANNING COUNCIL RELATIONSHIP

A recent example which demonstrated the lack of openness and trust between the staff and the council concerned a new federal regulation requiring that local CETA administration set up an independent monitoring unit. This unit was to monitor CETA programs and the internal administration of CETA. Without consulting the planning council, the CETA administration went directly to the Board of Supervisors with a plan to implement this new requirement. The pros and cons of how the regulations should be implemented are beyond the scope of this survey; however, the planning council was not consulted prior to the CETA administration's presentation to the board, and the planning council members felt strongly that they should have been, since monitoring is one of their functions. The CETA administration felt it was an administrative matter that did not require the council's input. This example demonstrates the lack of openness betweeen staff and council, and illustrates the different perceptions they each have of their roles.

Clients, too, reported this lack of clarity of roles, and have felt there was great confusion about who was in charge---planning council or staff?

RECOMMENDATIONS

Agreement on and clarification of the roles of the staff and the planning council would do a great deal to lessen tensions and misunderstandings between the two. This has been the subject of several meetings and although a series of actions designed to improve council/staff interface was recently adopted by the council, the problems have not been satisfactorily solved.

Until there is a greater degree of mutual trust and respect between the council and the staff, proposed corrections will continue to be unworkable. The staff and council should continue to work toward greater mutual trust, and it is recommended that sessions between the two groups be held specifically to address that issue, with skilled facilitators conducting such sessions.

Staff should make a greater effort to give the planning council critical and necessary information with as much lead time as possible, especially as it relates to projections of funding in the various CETA titles. With the delays and uncertainties of federal appropriations and legislation it is difficult, but a high priority should be placed on seeing that the council is promptly and fully informed. Better planning and better communication with the CETA constituency could then be achieved.

It is recommended that one member of the CETA staff be designated as the official liaison between the staff and the planning council. This person's other staff responsibilities should be limited so that ample time could be devoted to keeping the planning council fully informed, for planning with them, for answering their questions and concerns, for handling any staff/council misunderstandings and for setting up a series of training sessions.

V. IMPACT ON FUNDING

Members of the planning council, staff, and elected officials were asked for their perceptions of the impact they felt the council has had on the funding pattern of CETA programs in Santa Barbara County.

A. PLANNING COUNCIL - Views

Members of the council were positive about the impact they feel they have had in the CETA funding and process. Many felt that within each

CETA title they had made a difference because they have been more willing than the staff to take chance on funding new projects. They felt that they have offered program operators and citizens an opportunity for input that they would not otherwise have had. There was mixed feelings about how seriously their recommendations were taken by the Board of Supervisors, especially when differences between staff and planning council came before the board.

Some felt that the board tended to rely more heavily on staff recommendations; others felt the board was more persuaded by the council. A number of council members mentioned the value of the role they play as "watchdog" in the process.

B. STAFF - Views of impact on funding

The majority of the staff felt that although the Board of Supervisors paid a great deal of attention to the planning council's recommendations, the patterns of funding was much more influenced by 1) the emphasis of the legislation from year to year, 2) the economy of Santa Barbara County, and 3) the heavy concentration of social services agencies vis-a-vis private industry in this county.

Other areas the staff discussed as being impacted on by the council were: the council's willingness to fund "risky" groups, and their concern for meeting needs which often took precedence over the quality of the program; what they saw as the council's bias against established institutions and toward community-based organizations; and the staff's perception that the council is sometimes overly influenced by rhetoric and "in" causes.

C. BOARD OF SUPERVISORS - Views on funding

The board indicated they felt a heavy reliance on the CETA Planning Council and, for the most part, were satisfied with the council's performance and the CETA program in this county. One member felt that since CETA had, in the past, been able to fund most programs, there was little controversy about the planning council.

VI. PROCESS OF RECOMMENDING FUNDING

The council is involved in a constant round of issuing and evaluating Requests for Proposals (RFP's) for CETA funding. There are a number of reasons for this: one, the funding regulations and amounts are dependent on the constant change and uncertainty of federal legislation and federal appropriations; and two, the locally appropriated funding levels for different titles in the program are frequently not reached, and additional efforts are made to spend the money. The attempt to keep the community adequately informed and up-to-date about the monies available and the changing regulations is not always easy, and in fact, often is not even attempted. The impression given is that many times no one in authority seems to know with any degree of certainty how much money is available in the various titles.

However, when RFP's are received by CETA they are reviewed by the staff and then by the Proposal Review Committee of the planning council. Staff is involved and participates in the voting at these reviews. Those submitting proposals are sometimes given an opportunity to appear before the committee to answer questions and explain their proposal. There is, however, no consistent effort on the part of staff or council to encourage this input or to arrange a schedule whereby everyone is uniformly interviewed. The process is often unclear to the applicant, as are the criteria being used by the committee and the planning council to evaluate proposals.

The recommendations from the Proposal Review Committee are presented to the planning council. Past performance has demonstrated that the council seldom, if ever, accepts the committee's recommendations without considerable discussion and change. Applicants with proposals under consideration seldom fail to attend these council meetings to lobby for their programs. They often sit through hours of preliminary business and discussion before being given an opportunity to speak, or as is often the case, have no opportunity to speak because the meeting is adjourned (usually for lack of a quorum) before their proposal is brought before the council.

Clients report that they have never been able to figure out how the planning council decides on their funding recommendations. Many said they guessed that it was often based more on political factors (whether one or two council members were really "pushing it") or on using the right "buzz" words, rather than on the merit of the program. Criteria for funding, they felt, was neither consistent or clear.

The greatest confusion appears to be related to the fact that clear procedures, especially regarding the funding process and funding recommendations, are not thought through and understood by everyone involved in the process. Procedures and criteria for funding are not published for the public's perusal. Often hours are spent at planning council meetings, justifying, revising, explaining, and sometimes even ignoring, procedures which had been adopted earlier. Many of these procedures seem to have been conceived in haste and in a crisis situation, allowing little time to plan and little time to explain to all those who are affected by the decisions.

Although this may not always be the fault or under the control of the planning council, as a citizen board they nonetheless have a responsibility to make certain that the community knows the "rules of the game". The community should not only know the "rules" but have confidence that they will be adhered to with consistency and objectivity. Deficiencies in this area seem to have plagued the CETA Planning Council here for some time, but since CETA monies have been reasonably abundant in the past, and not many have been denied funding, the outcry about the procedures has been muted.

There has been a heightened concern recently, as programs which only a few months before had been secure and had even been encouraged to expand, were suddenly cut back. The planning council gave no advance warning of this cut-back nor explained their rationale for who received cuts or why.

RECOMMENDATIONS

It is recommended that the CETA Planning Council, in consultation with the CETA staff, set up an ad hoc advisory committee made up of program operators and CETA project directors. It would be the responsibility of this ad hoc advisory committee to work with the CETA Planning Council and staff to devise a set of procedures and guidelines for the CETA Planning Council to follow in their application and recommendation process and in their monitoring and evaluation of on-going programs. These working procedures should then be published, widely distributed and used as the basis for workshop training sessions. Only by such a thorough and mutual re-examination of the current process can the credibility of the council be established.

Members of the community and members of the council would reap the benefits of this effort. The community would know what to expect, when and how public input could be made, how decisions are made, what criteria are used, what funding is available, and would feel more confident about planning council decisions. The council would maximize its time and efficiency by being more willing to accept their own committees' recommendations with a confidence in the process that has been lacking.

If such an effort as described above is seriously undertaken and then followed through, the planning council could truly be said to be an "avenue" for citizen participation, not a "cul-de-sac" where the citizen often ends up going around in circles. There has been a noticeable and *heightened awareness on the part of the planning council leadership of the need to facilitate community input. This is commendable but the "when" and the "how" of such input is equally important.*

VII. MONITORING OF PROGRAMS

Staff and planning council members were asked what involvement the planning council had in the monitoring of programs, and what percentage of time they felt was devoted to each of the following: funding, monitoring, evaluating of CETA programs.

A. PLANNING COUNCIL - Views on monitoring

Most of those agreed that there was little formal monitoring of CETA programs by the planning council, and when it was done it was usually because some controversial program was being scrutinized. They added that they usually reviewed staff evaluations and were dependent upon them when extending or re-funding projects. The minority who said they felt there was a fair amount of monitoring by council members referred more to the informal reporting by individual members of the council on projects in their geographic area or area of interest, rather than any formal monitoring with uniform criteria .

B. STAFF - Views on monitoring

Staff reported that there was very little formal monitoring on the part of the planning council, except in problem cases. Yet, several said the planning council often challenged staff monitoring reports, especially when they were negative or had a direct bearing on their interests.

On the question of how much time the planning council devoted to the three functions---funding, monitoring, and evaluating---there was a widespread difference of opinion. Differences of opinion between members of the planning council was most varied.

The staff, however, was unanimous in their view that the vast percentage of the council's time was spent in the funding recommendation function---80% to 95% of council time being devoted to just that.

RECOMMENDATIONS

The planning council should assume a much greater role in formal monitoring of programs, but only after a good process and criteria are adopted and understood. A process for devising a set of working procedures is covered in earlier recommendations.

THE HUMAN SERVICES COMMISSION

> *"The 1970's have been marked by a paradox in civic attitudes and behavior in America. We have witnessed growing reflections of citizen alienation, distrust, and withdrawal; however, we have seen also an explosion in citizen organizations and public interest groups and a multitude of efforts to make government more accessible, accountable and responsive to citizens."*
>
> Stuart Langton, *Citizen Participation in America: Current Reflections on the State of the Art*, Lexington, Mass., Lexington Books, 1978.

HUMAN SERVICES COMMISSION

TABLE OF CONTENTS

Recommendations for Change - A Compilation 27

I. When was the Human Services Commission formed? 34

II. Why was the Human Services Commission formed? 34

III. Federal Mandate for Citizen Participation in General Revenue Sharing Legislation 34

IV. Local Mandate for Citizen Participation in General Revenue Sharing 35

V. Composition and Structure of Human Services Commission 36

I. Representation 37

II. Training/Orientation 40

III. Staff/Commission Relationship 41

IV. Impact of Commission on Level and Pattern of Funding 42

V. Advocacy Role of Commission 43

VI. Impact of Commission on the Process of Funding 47

Process Before and After the Commission's Establishment 47

VII. Evidence, Level and Pattern of Funding 54

Some Facts and Figures 55

VIII. Human Services Commission's Impact on and Involvement In Its Mandated Responsibilities 58

Review of Mandates and Activities 58

THE HUMAN SERVICES COMMISSION

RECOMMENDATIONS FOR CHANGE

In the spirit of increasing the value and impact of the Human Services Commission as an avenue for citizen participation, the following recommendations for change are offered. They are a compilation of the recommendations which will be found in context throughout the remainder of this section on the Human Services Commission.

RECOMMENDATIONS - On Representation on Human Services Commission

Of the three appointees of each supervisor, it is recommended that one should be a consumer or client of human services and that another should be a provider of human services who is not an applicant or recipient of revenue sharing funds. To satisfy the concern about conflict of interest, this provider could well be one who has funding sources outside of revenue sharing, or who is a retiree from or a volunteer for a human service agency.

The Board of Supervisors should lay out a goal for seeing that in three years the Commission would, under this appointing policy, be one-thrid client/consumer and one-third providers of human services. An active and on-going recruitment program should be undertaken by each supervisor to seek out citizens to fill these categories. With effort, it could be done, and the Commission would be strengthened by having this kind of broad and knowledgeable representation without jeopardizing its conflict of interest position.

The upcoming priority for program and department evaluation would benefit greatly from a Commission that had such human service background and first-hand knowledge. While it has been possible for commissioners who admittedly had little background in either social services or local government to learn and make a real contribution, many said their effectiveness did not really begin until a year or more of experience had been gained by serving on the Commission.

RECOMMENDATIONS - On Training and Orientation

With the influx of new members on the Commission there is even a greater need to follow through on setting up some training sessions. Staff and Commission leadership should work together to plan and implement a training program which would include, in addition to the areas mentioned above, some training in program education.

RECOMMENDATIONS - On Staff/Commission Working Relationship

The Board of Supervisors should recognize the value of superior and adequate staffing for the Human Services Commission as absolutely necessary to the carrying out of the Commission's broad mandate. Funding for such staff should be a regular line-item in the county budget and should continue to be funded adequately as long as the scope of the Commission continues to be as broad as the current by-laws mandate.

RECOMMENDATIONS - On Advocacy Role of The Commission

Given the wide range of views expressed above, it should come as no surprise to even the most casual observer of government and citizen participation why the Human Services Commission is regarded by some of the "players of the game" with frustration, by others with suspicion, and by others with pleasure. Everyone's expectations for it were different.

The dynamics of the ambiguity that exists on the commission itself and among the supervisors helps to explain the controversy that has followed the Commission since its inception. When you combine that ambiguity with the impact and fiscal uncertainties of the passage of Proposition 13 on government and non-profits (at the culmination of the Commission's first year of funding recommendations), the storm that surrounds the Commission's beginnings becomes more understandable.

Because so many cross-purposes exist among those both actively involved in the process and those most intimately affected by the process, it is recommended that the Board of Supervisors and the Human Services Commission meet together to discuss and then make a clear statement to define the role of the Commission in four areas:

1) the level of funding for human services,
2) the pattern of funding for human services,
* 3) the definition and extent of human services within the purview of the Commission, and
4) the extent and range of the advocacy role of the Commission.

(* NOTE: A definition of "Human Services" was adopted by the Commission at its January 5, 1978 meeting. See Appendix B for that definition.)

RECOMMENDATIONS - On Impact of Human Services Commission on Funding Process

The Commission should take greater care to brief and sensitize the Commission interviewers to help insure that all applicants are treated equally and fairly, and free from any individual biases. A better pro-

cess needs to be worked out for informing and hearing agencies at the Commission meeting on final recommendations to be made to the Board of Supervisors.

Agencies should be given an opportunity to review the recommendations and rationale of the five-member Revenue Sharing Committee prior to the meeting so that they can respond, correct any misconceptions and lobby the Commission with full knowledge of the Commission's basis for their decision.

It is recommended that a corps of consultants in each of the human services fields, (i.e., housing, health, handicapped services, etc.) be asked to volunteer time during the recommendation of funding period and again during the mid-year evaluation period. These consultants would be available to supply the commission with necessary understanding and background in technical fields. Bringing this additional specialized information into the commission's recommendation and evaluation process would lend needed credibility to commission decisions.

Consultant expertise should be utilized as needed in funding recommendations, needs assessments, and evaluations. The volunteer panel of experts would have to be free of any direct ties with agencies under consideration.

There are two recommendations related to the CAO's first mandated public hearing. This hearing is held specifically to focus public attention and public input on the proposed use of the General Revenue Sharing funds that local government will be receiving.

First, the hearing's purpose should be more clearly identified and publicized, so that the total GRS budget is addressed, not simply the private agency funding for human services to be funded from the revenue sharing monies, as has become the custom in the Santa Barbara

County hearings. A more thorough examination and understanding of how the total revenue sharing funds are proposed to be spent and how this spending relates to the priorities of human service spending would entail a detailed study and understanding of the entire county budget in order to be meaningful. Understandably, this is a major undertaking for citizens, however, priorities for the future and decisions which closely affect the community and the citizens are reflected in the county budget. To be effective a coalition of citizens and citizen groups should begin meeting early in the budget-making cycle to decide on a course of action for following the budget-making process of the county.

It is recommended that a series of workshops and training sessions be set up by this coalition to give citizens an understanding of the budget process and the points where citizen input would be effective. Citizens would have to be alert to see that the process was an open one, but just as importantly, that they were well-informed enough to ask the "right" questions, at the "right" time in the process.

The second recommendation concerns the timing of this first public hearing. If the citizen effort and input described above is to be meaningful, it should be the culmination of a major citizen effort. If the spirit, as well as the letter of the citizen participation mandate is taken seriously, this hearing should be prior to the time that the CAO's recommendations are firmed up. The law states that this hearing must be held at least seven days before the proposed budget is presented to the governmental body for encatment. One questions whether or not this is adequate time to take into account the input in formulating final recommendations.

The hearing should be far enough ahead of the final budget hearing and far enough ahead of the Human Services Commission's recommendations so that the citizens input at the hearing can be seriously considered in the recommendations of both the CAO and the Commission.

RECOMMENDATIONS - On Human Services Commission's Impact on and Involvement in Locally Mandated Responsibilities of the Commission

Commission and staff should give highest priority to a program and a process for beginning the serious evaluation of county departments. The suggestion of one Commission member, based on the experience of another Human Services Commission in the state, that a five person (1 per district) sub-committee be set up to devote themselves exclusively to assisting staff in this endeavor, should be seriously considered. Members of this committee would be excused from activities of interviewing and mid-year evaluation. The evaluation of county departments should receive the fullest support and cooperation of the Board of Supervisors and the county departments, including additional staff support when and if needed.

It is recommended that the Board of Supervisors provide funding for the hiring of outside consultants to assist where needed in the evaluation of county departments which the Commission will be undertaking. It is a rare opportunity for those in government to support an evaluation of its own services. It would be false economy to rely solely on volunteers and a very limited, though capable, staff.

If dependent solely on the evaluated department and its personnel for their information, they run a risk of presenting a limited and biased picture. Oversight has long been the forgotten function of many legislators. The Board of Supervisors of Santa Barbara County has, in this ambitious plan, an opportunity to demonstrate that they are committed to a serious evaluation of the county human services suppliers, including those supplied by the county itself. It would be futile to begin such a project without the enthusiastic support of the elected officials, including financial support.

Much greater effort should be made to get broader citizen participation in all the functions of the Commission. The crucial meetings the Commission holds to discuss policies they will follow in their funding decisions each year, are as important as the meetings at which final recommendations are made. As the Commission begins the evaluation of the county departments and makes recommendations on integration and coordination, the need for public input will be even greater. The Commission and staff should commit themselves to a greater effort to reach out to the community, and examine their current program to see if there are changes in publicity, time of meeting, format of meeting, etc., which inhibit greater public participation.

Once the Commission has completed its evaluation of all human services in the County, including the county departments, it can only completely fulfill its mandate by becoming actively involved in seeing that identified human needs are being met effectively and efficiently. This would mean seeking out solutions and programs, in being an initiator not a reactor, in actively seeking other sources of funding and in fact taking on the responsibility of insuring that human services needs are met in the County.

Advocacy to see that human service needs are met is implied in every one of the charges to the Commission. Such advocacy can and should be foremost in the role the Commission plays in the County. However, advocacy should be done with the maximum information which completing their charge will give them and only then will it be credible to the community and to the elected officials and not just advocacy for advocacy's sake.

HUMAN SERVICES COMMISSION IN THE COUNTY OF SANTA BARBARA

I. *When was it formed?*

The Human Services Commission held its first meeting in February, 1977.

II. *Why was it formed?*

The Commission was created because many concerned citizen groups and individuals in the county felt the revenue sharing process did not provide adequate opportunities for citizen input. Most instrumental among community groups in petitioning for a citizen advisory board was the South Coast Coordinating Council.

The South Coast Coordinating Council, a coalition of non-profit human services agencies, felt the minimal input from the community offered at the federally mandated public hearings on revenue sharing was inadequate. What resulted were decisions by elected officials based almost entirely on the recommendations of the County's Chief Administrative Officer (CAO), with little timely or effective citizen input in the process.

III. *The Federal Mandate for Citizen Participation*

On October 13, 1976 the Congress passed the State and Local Fiscal Assistance Amendments of 1976. This legislation, commonly known as revenue sharing, extended the 1972 Act which provided for a redistribution of tax monies to state and local units of government for the purpose of meeting locally established priorities. While these priorities are generally set by local officials, the 1976 amendments allow citizen involvement in the process of determining uses for their government's revenue sharing monies. Recipient governments desiring to appropriate revenue sharing funds are required to conduct two public hearings prior to any such action. Citizens must be given an opportunity to offer written and oral comments on the use of revenue sharing funds and their relationship to the entire budget. The first of these is the:

1) *Proposed Use Hearing.* A public hearing must be held at least seven days before the proposed budget is presented to the governmental body for its enactment. The purpose of this hearing is to seek public input on how local government should spend the General Revenue Sharing funds they will receive in the coming fiscal year. Notification of this hearing must be published at least ten days before the date of the hearing in at least one newspaper of general circulation.

2) *Budget Hearing.* The second hearing must be held prior to the final passage of the budget, to give citizens the opportunity to comment on the relationship of revenue sharing funds to the entire budget.

IV. *Additional Local Mandate for Citizen Participation*

The by-laws of the Human Services Commission, approved and adopted by the Board of Supervisors, states that the purpose of the Commission "shall be to serve as the primary vehicle for advice to the Board of Supervisors in developing effective human resources policies." The by-laws further outline six specific functions and responsibilities of the Commission:

1. Conduct a needs assessment in the human services area in Santa Barbara County.
2. Survey existing services and see how they fulfill the needs that have been identified.
3. Recommend to the Board of Supervisors priorities for the human services in Santa Barbara County in order to fulfill the needs.
4. Evaluate all human services in Santa Barbara County and determine effectiveness.
5. Recommend integration, coordination and cooperation of all human services in Santa Barbara County in order to better serve human needs.
6. Hold public hearings and promote broader citizen participation and make recommendations to the Board of Supervisors concerning the allocation of human service dollars to county departments and nonprofit organizations.

In addition to the formal mandate included in the by-laws, the Commission adopted prior to their funding recommendations for '78-79 the following policy definition of their role:

a. advocate for an overall amount of revenue sharing funds to be allocated for human services;

b. conduct a needs assessment, including a service inventory, to identify service duplication and areas of unmet need in order to establish priorities;

c. develop a "monitoring" system for on-going programs;

d. encourage a built-in self-evaluation process for all agencies;

e. foster cooperative relationships both between agencies working in similar services areas and between county and non-county agencies; and,

f. submit policy and funding recommendations concerning human services to the Board of Supervisors for their consideration.

No comparable policy was adopted for the 1979-80 funding recommendation cycle.

V. Composition and Structure of the Human Services Commission

The Human Services Commission consists of fifteen members appointed by the Board of Supervisors. Each supervisor recommends three Commission members from his/her district to the board for appointment. Commissioners' terms are three years, and no Commissioner is allowed to serve more than two successive terms. The by-laws state: "No person shall be a Commissioner who is an employee of a human service agency or department that is an applicant for or recipient of County funds for which the Commission has advisory responsibility. A Commissioner who is a member of a human services policy making board that either applies for or receives such county funds shall make disclosure thereof and abstain from all discussions and voting relating to the funding of that agency. Further questions regarding conflicts of interest will be referred to County Counsel for advice."

The Commission has three standing committees; a By-laws Committee, a Personnel Committee and an Executive Committee. Last year (1978) it also established several Ad Hoc Committees, the Family Violence Committee to review a project, and the Needs Assessment Committee which set up the process to study the county's human service needs. Each funding cycle, a Revenue Sharing Committee---a five person committee with a representative from each district---is constituted to make recommendations to the full commission on the requests for revenue sharing dollars.

I. REPRESENTATION ON HUMAN SERVICES COMMISSION

Advisory board members, staff, and elected officials were asked how they felt about the broadness of representation on the Human Services Commission. Specifically, they were asked if they felt there was over-domination or under-representation by any group, philosophy, or category.

A. HUMAN SERVICES COMMISSION - Compilation of their views

The majority of the members felt that other than the wide political spectrum represented on the Commission, it was not as broadly representative as a commission making human service recommendations should be. Such areas as low income, minority, black, clients, and consumers were mentioned as being under-represented.

Several members felt there was no problem with the broadness of representation, and cited the fact of minority representation on the Commission as proof; other members questioned the representative nature of those same members. Referring to the representation on the Commission, one member said the "majority are either retired, housewives, or professional do-gooders." Areas over-represented, according to some members, were the wealthy and the upper-middle class.

A number of members, when questioned about the representative nature of the Commission, talked about the reasons for a lack of broad representation. Mentioned most frequently was the time commitment involved in serving on the Commission, but they also listed other factors: the degree of education and sophistication they felt was required for the activities of the Commission; the day-time meetings; the decision that, in order to avoid conflict of interest, the Commission would not include any representatives of non-profit organizations on it; and, the allegation that its lack of broadness was merely a reflection of the five white male supervisors who made the appointments.

B. BOARD OF SUPERVISORS - Compilation of views

There was no serious concern on the part of any of the supervisors about the representation on the Commission. One supervisor who did say that there probably were not enough "hard minorities" or low socio-economic levels represented, did not, however, appoint anyone representing those categories when he made a subsequent appointment to the Commission. All supervisors mentioned the restraints that the tremendous amount of time and level of activity placed on getting broader representation. One supervisor mentioned that he had had to balance the need for low-income/minority representation with the need for those with time and organizational expertise, and he felt that particularly in the early organizing stages of a new commission it was important to have the latter.

Several supervisors who had appointed members with little social service knowledge or background said they felt this "arm's length" from the human service field was good and prevented the conflict of interest problem. All said they felt that members of the Commission who lacked social service background had worked very hard to learn and had managed to overcome their deficiencies in that area. The supervisors said they tried to interview new appointees and alert them to the time commitment required of them, and that then they tried to keep in touch with them. They mentioned their distress with appointees who failed to attend or regularly take an active role in the Commission, and several reported their attempts to get such members either to resign or to renew their commitment.

C. STAFF - Compilation of views

There was no real concern with the Commission make-up on the part of the staff interviewed. Although they said they felt that the majority's lack of social service experience was a disadvantage, they felt it was more than offset by the closeness that many of them had with their supervisors, and by the objectivity that their lack of personal involvement with agencies afforded them.

All of the staff felt that the Commission members had learned a great deal about government and its agencies, and that they had been a very hard-working and conscientious group.

RECOMMENDATIONS

Of the three appointees of each supervisor, it is recommended that one should be a consumer or client of human services and that another should be a provider of human services who is not an applicant or recipient of revenue sharing funds. To satisfy the concern about conflict of interest, this provider could well be one who has funding sources outside of revenue sharing, or who is a retiree from or a volunteer for a human service agency.

The Board of Supervisors should lay out a goal for seeing that in three years the Commission would, under this appointing policy, be one-third client/consumer and one-third providers of human services. An active and on-going recruitment program should be undertaken by each supervisor to seek out citizens to fill these categories. With effort, it could be done, and the Commission would be strengthened by having this kind of broad and knowledgeable representation without jeopardizing its conflict of interest position.

The upcoming priority for program and department evaluation would benefit greatly from a Commission that had such human service background and first-hand knowledge. While it has been possible for commissioners who admittedly had little background in either social services or local government to learn and make a real contribution, many said their effectiveness *did not really begin until a year or more of experience had been gained by serving on the Commission.*

II. TRAINING/ORIENTATION

Members of the Commission and staff were asked what kind of orientation they had received or felt members should receive when they were asked to serve on the Commission.They were also asked if they felt there were any areas of training that they or the Commission would benefit from receiving---training that would make their roles on the advisory board more effective.

A. HUMAN SERVICES COMMISSION - Compilation of their views

All but one member mentioned having been given a briefing or orientation by the chairperson or the staff or both. All felt this briefing was more than adequate, especially when coupled with an orientation session with their predecessor on the Commission. There was not a great deal of interest shown by members of the Commission for any kind of additional training, although a number who had been on the Commission since its inception mentioned that they had received excellent education from briefings by staff members of a Northern California county commission and from Santa Barbara County department heads.

A number of commissioners mentioned that they had known very little about either social service agencies or county government prior to their serving on the Commission, but said that they had worked hard to learn and felt that they had "grown" considerably. Several members felt a need to have a more formal orientation and felt that training in some areas would be beneficial. They mentioned the need of greater knowledge of county departments and the county budget, and the need for greater knowledge of social service agencies and their operations.

B. STAFF - Compilation of views

Staff felt a greater need for setting up some training programs than did members of the Commission. They said they planned a day-long meeting or series of meetings devoted to training and education.

RECOMMENDATION

With the influx of new members on the Commission there is even a greater need to follow through on setting up some training sessions. Staff and Commission leadership should work together to plan and implement a training program which would include, in addition to the areas mentioned above, some training in program education.

III. STAFF/COMMISSION WORKING RELATIONSHIP

The diverse philosophical and political views represented on the Board of Supervisors had no effect on one aspect of the survey: the description of the staff/commission relationship. The commissioners felt that the staff was excellent, dedicated and committed, and that their working relationship was one of trust and partnership. Commissioners frequently used the pronoun "we" to describe the Commission and staff. They felt that the staff worked for them and with them, not for the Board of Supervisors or for any county department. There are several factors which may account for this close relationship:

1) Members of the Commission were involved in interviewing and helping to select the staff director.
2) The staff does not, and has continued not to submit separate staff reports or recommendations to the Board of Supervisors.
3) Staff has only a limited role in the formation of the CAO's budget recommendations to the Board of Supervisors on revenue sharing funding of private agencies.
4) The Commission and staff have worked together since the inception of the Commission to work out guidelines, objectives, and procedures.

RECOMMENDATION

The Board of Supervisors should recognize the value of superior and adequate staffing for the Human Services Commission as absolutely necessary to the carrying out of the Commission's broad mandate. Funding for such staff should be a regular line-item in the county budget and should continue to be funded adequately as long as the scope of the Commission continues to be as broad as the current by-laws mandate.

IV. IMPACT THE COMMISSION HAS HAD ON THE LEVEL AND PATTERN OF FUNDING

All the above participants were asked for their perceptions of the impact they felt the Commission has had on the level of funding and the pattern of funding of the revenue sharing funds for private agency funding.

A. HUMAN SERVICES COMMISSION - Compilation of their views

"Uncertain", "not much," "plus or minus 10%"---these comments reflect the feelings of most commissioners of their influence on the level of revenue sharing funding of private agencies in Santa Barbara County. However, on the pattern of funding there was consensus among the commissioners that the Commission had made a difference. They felt they had been more flexible in their willingness to fund new programs and that even in the re-funding of previously funded organizations there had been careful scrutiny and evaluation before their recommendations were given. Almost all agreed that the process had been opened up, was more objective, credible and free of political pressure than it had been under the past system. A number of the commissioners mentioned the concern, and its possible impact on agencies, of trying to get agencies to regard General Revenue Sharing monies as "seed" money and not become heavily dependent on revenue sharing funding. They also mentioned their recommendations (to date unsuccessful) for moving some funding into line-items in the county budget.

B. STAFF - Compilation of views

Although several past and part-time staff members interviewed felt their limited experience precluded them commenting on this, others felt that the level of funding had probably been protected by having the Commission in the process. They also felt that the pattern had been affected due to the "hard" evaluations and the fact that there were no foregone conclusions on funding based largely on past funding.

C. BOARD OF SUPERVISORS - Compilation of views

While the majority of supervisors felt the impact the Commission had had on the level of funding for Human Services had been minimal, one did feel that it had been substantial and that had the Commission not been a part of the process, especially last year with Proposition 13's passage and the fiscal uncertainties that followed, there would have been considerable less money going to human services.

Another member felt the funding level had not only been unaffected by the Commission, but that the level was strictly the Board's responsibility in any event.

However, with one exception the supervisors agreed that the pattern of funding had been altered considerably by the Commission's role, especially if compared with the system when only the CAO made recommendations to the Board of Supervisors. They felt that new groups now have a much better opportunity to be funded than they did under the CAO's system which was, for the most part, the recommending of re-funding the previous year's recipients.

V. ADVOCACY ROLE OF THE COMMISSION

Since its inception the role the Human Services Commission should *play in advocating for human services funding has been unclear. Members of the commission, The Board of Supervisors, and representatives of human services agencies were all asked what they felt the "advocacy" role of the Commission should be.*

A. HUMAN SERVICES COMMISSION - Compilation of their views

The Commission was almost evenly divided as to the role they felt the Commission should play in advocating for human services funds. The half that felt the Commission should be vigorous advocates in behalf of greater funding for human services felt that to do otherwise put the Commission in the position of merely being a shield or scapegoat for the Board of Supervisors.

Among those who did not feel they should just be lobbying for more dollars to be spent on human services there were two views. Some felt that advocacy was beyond the role and the mandate of the Commission and that they were "to merely carefully evaluate and prioritize proposals" leaving the final decision of how much total spending there should be up to their elected representatives. As one member said, "I couldn't go to my supervisor and verbally assault him for a specific dollar figure for human services." This group felt they represented their supervisor and their role was to act as a liaison between the people and the Board of Supervisors.

Another group said that advocacy to them meant trying to insure that identified human services needs are met, whether it was done by government, private non-profits, profit-making groups or through other sources of funding. They feel there was a misconception that they would act as the "champions" of the non-profits and that many in the community had, in their opinion, false expectations for the Commission, especially in regard to the impact they would have on the "level" of funding for human services.

All members said their strength was in basing all of their funding recommendations (whether lobbying aggressively for them or not) on good firm factual analysis of the agencies and programs seeking funding.

One member felt that the question of advocacy simply could not be intelligently approached until the Commission had a greater knowledge of the effectiveness and efficiency of various county departments and/or programs. One supervisor voiced this same philosophy. The same ambivalence regarding the advocacy role of the Commission seems to exist in the community, even among those who are most involved in seeing the Human Services Commission established.

B. SUPERVISORS - Views on advocacy

Several supervisors said they felt the Human Services Commission should be advocates in some way for human services, but each of them qualified his statements, which would tend to indicate their ambivalence in regard to the Commission's advocacy role. There were statements such as:

1) "Advocates, yes, but with a full awareness of the political/ fiscal constraints."

2) "But, meeting human service needs does not necessarily mean an increased funding level."

3) "It's a dual role or dual dilemma, with the primary role of the Commission to act as an evaluating panel, with a secondary role as advocate, but advocates on a selective, need-demonstrated basis."

One supervisor said advocacy was not the responsibility or role of the Commission; it was the supervisors responsibility to decide on the level of funding. The Commission should evaluate needs and then determine who could best serve those needs, the county or non-profits.

Another supervisor said it was premature to discuss advocacy at this time, for now their role was strictly an evaluative/prioritizing role. Later, he said, when the Commission has a "handle" on the total process, including evaluation of the county departments, they should become advocates for human services, deciding whether the county or private agencies could best meet needs. This same supervisor saw a future role for the Commission as a power comparable to the Planning Commission, including the total range of human services in the county within their purview.

C. CLIENTS - Views of advocacy

The range of views heard from clients was not as broad as those represented on the Commission. The clients interviewed were chosen because they had had experience with both the old system---recommendations made by the CAO---and the new system---recommendations also made by the Human Services Commission.

Although several mentioned that they would like to see the Commission take a more active role in advocating more money for human services, all agreed that that did not just mean more funding for non-profits, but included county departments and other sources of funding which went beyond the scope of revenue sharing.

Their views are best summed up in this quote from one long-time recipient of revenue sharing in the county:

> "The Commission should be something between flaming radicals just lobbying for human services and merely an evaluating, prioritizing arm of the board. They should become advocates for social services in the county whether those services are county or private. It should depend solely on who delivers best and fills the need best, although I think usually private agencies can deliver more effectively and efficiently because of their use of volunteers and their proximity to the community, their greater flexibility, etc. They probably have not done as good a job of advocating for human services to date for fear of simply being labeled as advocates of non-profits. The two are not synonomous. They were perhaps a little in awe of the panic produced by Proposition 13 and the Board of Supervisors. I think the supervisors were looking to them for strong, independent advice and that they too quickly were willing to 'knuckle under'."

RECOMMENDATIONS

Given the wide range of views expressed above, it should come as no surprise to even the most casual observer of government and citizen participation why the Human Services Commission is regarded by some of the "players of the game" with frustration, by others with suspicion, and by others with pleasure. Everyone's expectations for it were different.

The dynamics of the ambiguity that exists on the Commission itself and among the supervisors helps to explain the controversy that has followed the Commission since its inception. When you combine that ambiguity with the impact and fiscal uncertainties of the passage of Proposition 13 on government and non-profits (at the culmination of the Commission's first year of funding recommendations), the storm that surrounded the Commission's beginnings becomes more understandable.

Because so many cross-purposes exist among those both actively involved in the process and those most intimately affected by the process, it is recommended that the Board of Supervisors and the Human Services Commission meet together to discuss and then make a clear statement to define the role of the Commission in four areas:

1) the level of funding for human services,
2) the pattern of funding for human services,
* 3) the definition and extent of human services within the purview of the Commission, and
4) the extent and range of the advocacy role of the Commission.

(*NOTE: A definition of "Human Services" was adopted by the Commission at its January 5, 1978 meeting. See Appendix B for that definition.)

VI. IMPACT OF HUMAN SERVICES COMMISSION ON FUNDING PROCESS

Prior to the establishment of the Human Services Commission the recommendations for private agency funding from General Revenue Sharing monies came solely from the County Administrative Officer (CAO). There was minimal solicitation of application, and according to a UCSB student intern's paper describing the process (See Tony O'Rourke, " An Inquiry and Insight into Public Policy-Making, The Decisional Process Relative to the Allocation of General Revenue Sharing Funds in the County of Santa Barbara, California", Unpublished paper, University of California, Santa Barbara, 1977), the applications varied greatly as to quality and quantity.

The supervisors had neither the time, staff or information to make comprehensive and confident decisions, and with the addition of some "district projects", they usually accepted without change the recommendations of the CAO. The CAO's office published and released its General Revenue Sharing funding recommendations only a few days before the first mandated public hearing on revenue sharing. The UCSB paper describing the process quoted a member of the CAO's office as admitting that the hearings were "a pain", and did little but to slow up the process. It was obvious that the only reason for holding the hearing was to satisfy the letter of the law.

Mid-year evaluations, designed to gauge objectives and performances of previously funded programs and give additional information to the CAO and the Board of Supervisors in their funding decisions, were also conducted by CAO's office. These evaluations were described as "piecemeal and superficial in nature" in the intern's study of the process, and so cursory as to give little information to the Board in their deliberations.

The CAO's policy and philosophy of simply re-funding the previously funded agencies will be examined in more depth in the EVIDENCE OF FUNDING section of this report, but the assumption was that funded organizations were simply assumed to be operating efficiently and effectively since little information was available to the contrary, either through the application or evaluation process.

Since the advent of the Human Services Commission both the application and evaluation process has undergone considerable change. The application form and process used by the Commission was developed and has since been refined, after considerable input from agencies in the community and from examination of forms used by other cities and counties.

Public meetings on the application process were held in the north and south county and applications were made available in various communities throughout the county. In addition to the written application, all applicants are interviewed. The Commission reported that in preparation for the 1978-79 funding recommendations that approximately 400 volunteer hours were devoted to conducting individual agency interviews and another 120 hours in deliberation, plus the untold staff hours devoted to this effort.

Interviewing committees of three to six members, composed of rotating commission members and staff members, used a standard evaluation process with standard criteria for use after each interview. The five member revenue sharing committee, consisting of one person from each supervisorial district, then prepared recommendations for presentation to the full Commission. The committee and staff accompanied their recommendations with a brief description of each applicant's program and their rationale for making each funding recommendation.

The revenue sharing committee's recommendations are presented at a commission meeting where agencies are given an opportunity for input before the final vote for recommendations to be made to the Board of Supervisors. These recommendations are considered by the Board of Supervisors at a budget hearing held prior to the final passage of the budget, a hearing which is the second public hearing mandated by law.

The evaluation process involves written information plus an on-site visit by staff and at least two commissioners.

A. HUMAN SERVICES COMMISSION - View on funding process

There was general agreement that the interview process under the Human Services Commission was thoughtful, objective and open, and represented a great improvement over the process used by the CAO's office. One member did report that s / he thought the interviewing process was too dependent on the interviewer's biases. Though there were reports which appeared to be isolated cases and to come from only one or two members of the Commission. In following up on these reports they seemed to be based on a backlash to what a few members of the Commission felt was an abusive, hostile and rude reaction directed at them last year by certain South Coast agencies who were protesting what they felt was the Commission's unwillingness to fight for greater human services funding.

One commission member who was most incensed at what s / he considered personal abuse at last year's hearing mentioned names and agencies which s / he felt were responsible for this public outburst. The reports of rudeness at the interviews correlated with those named by this commissioner as "troublemakers". A few members of the commission were queried about the above incidents and admitted there had been some isolated cases of personal bias reported, but because there were always several commission members at interviews, plus staff, those members felt it had not had any influence on funding recommendations.

B. BOARD OF SUPERVISORS - Views on funding process

All the supervisors felt that the funding process with the Human Services Commission making recommendations had been a great improvement. They felt that the process was now much more objective, and a great deal more open.

All mentioned that the recommendations under the CAO's system had leaned heavily toward re-funding those previously funded, and that now the system was much more open to new applicants and innovative programs.

They felt too that the commission's monitoring and mid-year evaluations gave them greater assurance of the county getting its money's worth.

C. CLIENTS - Compilation of views on funding process

There were mixed reactions from clients about the process the Commission uses in making its recommendations and in evaluating agency performance. One client reported being greeted by a member of the interviewing team of the commission with the statement: "There are a lot of non-profits around who are frauds".

Other clients felt that, even though questions from the panel sometimes indicated a lack of sympathy with their program, the process was a good one and that interviewers appeared well-prepared and knowledgeable about their program. The occasional "hostile" treatment seemed to be based more on personalities than on the process, and, as stated above, appeared to be directed at activist groups who had protested Human Services Commission decisions last year. Most of the clients interviewed agreed that the process was more open and objective than it had been under the CAO's system, and that there was now much less opportunity for pork-barreling.

Clients interviewed had a much less positive reaction, however, as to the value of the mid-year evaluations. Several said that the questions asked by commissioners were naive and often indicated their lack of sophistication about the program or about social service agencies. However, when compared with the CAO's evaluations they felt the Commission and staff were much better informed about what goes on in agencies after they are funded, and that again, the process was a good one.

Another client interviewed felt strongly that the major ingredient lacking in both the funding recommendation process and the mid-year evaluation was expertise and technical background in specific human service fields. S/he suggested that consultants be hired to assist the commission during the funding recommendation process and the mid-year evaluations.

RECOMMENDATIONS

The Commission should take greater care to brief and sensitize the Commission interviewers to help insure that all applicants are treated equally and fairly, and free from any individual biases. A better process needs to be worked out for informing and hearing agencies at the Commission meeting on final recommendations to be made to the Board of Supervisors.

Agencies should be given an opportunity to review the recommendations and rationale of the five-member Revenue Sharing Committee prior to the meeting so that they can respond, correct any misconceptions and lobby the Commission with full knowledge of the Commission's basis for their decision.

It is recommended that a corps of consultants in each of the human services fields, (i.e., housing, health, handicapped services, etc.) be asked to volunteer time during the recommendation of funding period and again during the mid-year evaluation period. These consultants would be available to supply the commission with necessary understanding and background in technical fields. Bringing this additional specialized information into the commission's recommendation and evaluation process would lend needed credibility to commission decisions.

Consultant expertise should be utilized as needed in funding recommendations, needs assessments, and evaluations. The volunteer panel of experts would have to be free of any direct ties with agencies under consideration.

There are two recommendations related to the CAO's first mandated public hearing. This hearing is held specifically to focus public attention and public input on the proposed use of the General Revenue Sharing funds that local government will be receiving.

First, the hearing's purpose should be more clearly identified and publicized, so that the total GRS budget is addressed, not simply the private agency funding for human services to be funded from the revenue sharing monies, as has become the custom in the Santa Barbara County hearings. A more thorough examination and understanding of how the total revenue sharing funds are proposed to be spent and how this spending relates to the priorities of human service spending would entail a detailed study and understanding of the entire county budget in order to be meaningful. Understandably, this is a major undertaking for citizens, however, priorities for the future and decisions which closely affect the community and the citizens are reflected in the county budget. To be effective a coalition of citizens and citizen groups should begin meeting early in the budget -making cycle to decide on a course of action for following the budget-making process of the county.

It is recommended that a series of workshops and training sessions be set up by this coalition to give citizens an understanding of the budget process and the points where citizen input would be effective. Citizens would have to be alert to see that the process was an open one, but just as importantly, that they were well-informed enough to ask the "right" questions, at the "right" time in the process.

The second recommendation concerns the timing of this first public hearing. If the citizen effort and input described above is to be meaningful, it should be the culmination of a major citizen effort. If the spirit, as well as the letter of the citizen participation mandate is taken seriously, this hearing should be prior to the time that the CAO's recommendations are firmed up. The law states that this hearing must be held at least seven days before the proposed budget is presented to the governmental body for enactment. One questions whether or not this is adequate time to take *into account the input in formulating final recommendations.*

The hearing should be far enough ahead of the final budget hearing and far enough ahead of the Human Services Commission's recommendations so that the citizens input at the hearing can be seriously considered in the recommendations of both the CAO and the Commission.

VI. EVIDENCE OF LEVEL AND PATTERN OF FUNDING - BEFORE AND AFTER HUMAN SERVICES COMMISSION

What effect, if any, has the involvement of the Human Services Commission had, in the funding of private non-profit agencies with General Revenue Sharing Funds?

Unlike other citizen boards advising elected officials on federal programs, we have in the General Revenue Sharing an opportunity to look at the process both before and after the Commission was established. Past sections of the report dealt with various perceptions of the differences those involved feel the Human Services Commission has made in other aspects of the program; this section will present evidence regarding the level of funding that has gone to private non-profit agencies before and after the Human Services Commission's establishment, and examine whether or not there has been a measurable difference in the pattern of that funding.

The percentage of funding from General Revenue Sharing that has gone to private agencies has not changed appreciably since the Human Services Commission's establishment. (See Table I)

In the four years prior to the Human Services Commission's establishment, private non-profits received an average of 15.3% of the General Revenue Sharing budget. In the two years of Human Services

TABLE 1

General Revenue Sharing (GRS) - Funding to Non-Profits

Before and After Extablishment of the Human Services Commission in Santa Barbara County

Year	Total GRS funds budgeted for	CAO's recommendation for non-profits	% of CAO's rec. to non-profits	H.S. Commission's recommendation for non-profits	% of H.S.C.'s rec. to non-profits	Actual amount of GRS fund budgeted for non-profits	% of GRS budgeted for non-profits
'74-'75	$4,449,852*	---	---	---	---	$499,146	11%
'75-'76	2,321,184*	$469,339	20%	---	---	467,391	20%
'76-'77	2,910,834*	153,332	5%	---	---	484,304	17%
'77-'78	4,753,282*	451,550	9%	---	---	592,733	12%
						Average budgeted for non-profits	15%
'78-'79	$4,881,302	$622,370	13%	$722,994 [1] 462,000 [2]	15% 9%	$656,632	13%
'79-'80	4,344,597	476,661	11%	775,200	18%	812,000	18.7%
						Average budgeted for non-profits	15.8%

* These are the estimates of GRS funds used during the budget making process. The GRS funds actually expended for each of these years sometimes differs considerably. e.g. '76-'77 actual $3,787,943. '77-'78 actual $4,144,691 '78-'79 actual $4,143,400.

[1] First recommendation

[2] Second recommendation

Commission involvement 13% in 1978-79 and 18.7% in 1979-80 has been allocated to non-profits. This is an average of 15.8%

Some interviewed expressed the feeling that although the *level* of funding non-profits has not changed appreciably with the Commission's involvement, that had they *not* been in the process during the post-Proposition 13 panic, the level would have been considerably less. Others saw the maintenance of the same level, as an indication that the Commission had not advocated vigorously enough for greater funding for human services.

On the *pattern* of funding, however, there was widespread agreement that the Commission had made a difference. The evidence would seem to bear this out. The UCSB paper (mentioned above) examining the General Revenue Sharing in the county prior to the Human Services Commission's existence listed sixteen "secure" human service organizations which received the bulk of private agency revenue sharing funds over a period of several years. (See attached Table 2 for the list of the agencies and the percentage of revenue sharing they cumulatively received both before and after the Human Services Commission was established.) The paper concluded that under the CAO's system of recommending funding for the private non-profits the largest determining factor was previous funding of the agency. The Board of Supervisor's lack of time, staff and information to make confident decisions led them to rely very heavily on the CAO's recommendations.

Although many of the "established" agencies still continued to be funded with the Human Services Commission recommending funding, they received considerably less of the total General Revenue Sharing funds than in the past years. (See Table 2) Programs which had never been funded before were recommended and funded. Many of these tended to 1) be more innovative or 2) to speak to specific needs felt to be unmet in the community. Examples of such funding were programs funded for housing, recreation, transportation, family violence, the handicapped, and senior day care.

TABLE 2

Percentage of Revenue Sharing Allocated to 16 "Established" Agencies* Before and After the Establishment of the Human Services Commission.

Prior to H. S. Commission			After H. S. Commission Est.	
1975 -76	1976-77	1977-78	1978-79	1979-80
82%	87%	75%	43%	37%

* Isla Vista Open Door Medical Clinic, Freedom Clinic, Santa Maria Association for Retarded, I.V. Human Relations Center, Social Advocates for Youth, Lompoc Valley Drug Abuse Council (Drop-In Center, Dawn House), Isla Vista Youth Projects, Operation Kids, Santa Barbara Girls' Club, Lompoc Girls' Club, Guadalupe Youth Service Center, Santa Barbara NAACP (Afro-American Community Services), Community Action Commission (Advocacy and Senior Services), La Casa de la Raza, Community Resources Information Service, C.A.L.M. (Child Abuse Listening Mediation).

VIII. HUMAN SERVICES COMMISSION'S IMPACT ON AND INVOLVEMENT IN LOCALLY MANDATED RESPONSIBILITIES OF THE COMMISSION

The by-laws of the Human Services Commission outline the following functions and responsibilities:

1) Conduct a needs assement in the human services area in Santa Barbara County.

2) Survey existing services and see how they fulfill the needs that have been identified.

3) Recommend to the Board of Supervisors priorities for the human services in Santa Barbara County in order to fulfill the needs.

4) Evaluate all human services in Santa Barbara County and determine effectiveness.

5) Recommend integration, coordination and cooperation of all human services in Santa Barbara County in order to better serve human needs.

6) Hold public hearings and promote broader citizen participation and make recommendations to the Board of Supervisors concerning allocation of human service dollars to county departments and non-profit organizations.

To what extent has the Human Services Commission been able to fulfill these objectives? In an effort to answer this question this evaluation will explore the extent of the Commission's involvement and impact on each of the six areas as observed, as evidenced and as perceived by those key players in the process who were interviewed.

1. Conduct a needs assessment in the human services area in Santa Barbara County.

Much of the first year was spent in organizing and developing procedures and guidelines for operating. However, in October, 1977, eight months after their first meeting, the staff and the Needs Assessment Committee of the commission, undertook a needs assessment to describe and document the human services needs of county residents. The completed assessment was presented to the Board of Supervisors in October, 1978. Data was gathered in the following ways:

1) *Public meetings*---Four public meetings were held in various areas of the county to tap public opinion. Approximately 80 people attended.

2) *Key informants survey*---People who are not participants in the service delivery system but have the ability to speak for a number of persons were questioned regarding needs in their geographic areas. Persons in this group were identified by their elected office, appointed position, extensive knowledge through volunteerism or because they were members of advisory or planning groups.

3) *Workshops*---Six workshops were held for providers of human services in order to gather information concerning existing services and areas of unment need.

4) *Inventory of social services*---A survey of human service agencies provided information not otherwise available.

5) *Statistics and existing data*---The 1970 Census, the 1975 Special Census, other needs assessments, special reports and agency statistics were used.

Two assumptions often made in needs assessments were avoided: that additional services are needed; and that government is the best and most logical provider of services. The position adopted here was that services should be added only if the present system is unable to provide them. A change in focus on the part of deliverers of service, a reduction in duplicative services or a coordination of efforts among providers, for example, might make it possible for the present system to provide improved services.

The commission also adopted the position that the provider of any services, whether government or private, should be determined by comparative ability to provide the service in a cost effective manner.

The Commission identified the needs assessment as a "beginning informative document" with the need for periodic updating and expansion.

Although the Commission stated that "all proposals were measured against funding priorities developed" in the needs assessment, they went on to explain that quality proposals were not always received for all areas identified as "high priority". In their letter to the Board of Supervisors accompanying the completed needs assessment, the Commission stated that their next step was " to identify the feasibility of meeting, or at least partially meeting, the identified needs". That represents their second objective, which follows.

2. *Survey existing services and see how they fulfill the needs that have been identified.*

This was part of the needs assements survey, but services identified at the time of the survey may or may not have continued, and little attempt was made to assess the quality of such services. Certainly continual updating on this aspect of the Commission's charge is needed, especially in the light of the Commission's oft-stated concern about duplication of services.

3. *Recommend to the Board of Supervisors priorities for the human services in Santa Barbara County in order to fulfill the needs.*

This charge which entails the applicant interviews and the mid-year evaluation, has occupied the bulk of the Commission's time and effort to date, and though it will take less time as the procedures are worked out, it will no doubt always be a major function and charge of the Commission. The last few words of the charge---"in order to fulfill the needs"---are the key to this mandate. It is debatable how well the Commission has been able to address themselves to that aspect.

4. *Evaluate all human services in Santa Barbara County and determine effectiveness.*

This monumental task was mentioned frequently by Commission members as their next major undertaking. The Commission and the staff recognize both the enormity of the job and the great need for it. Plans are underway to begin working on this on a county department-by-department basis.

5. *Recommend integration, coordination and cooperation of all human services in Santa Barbara County in order to better serve human needs.*

This charge follows the one above, and although the Commission and staff feel they do as much of this as possible when reviewing and recommending, it certainly cannot be done adequately until more program and department evaluation is done and a much greater pool of information is available.

6. *Hold public hearings and promote broader citizen participation and make recommendations to the Board of Supervisors concerning allocation of human services dollars to county departments and non-profit organizations.*

This charge is an integral part of the recommendation process, and the needs assessment program. In those two areas attempts are made to insure that there is public input.

RECOMMENDATIONS

Commission and staff should give highest priority to a program and a process for beginning the serious evaluation of county departments. The suggestion of one Commission member, based on the experience of another Human Services Commission in the state, that a five person (1 per district) sub-committee be set up to devote themselves exclusively to assisting staff in this endeavor, should be seriously considered. Members of this committee would be excused from activities of interviewing and mid-year evaluation. The evaluation of county departments should receive the fullest support and cooperation of the Board of Supervisors and the county departments, including additional staff support when and if needed.

It is recommended that the Board of Supervisors provide funding for the hiring of outside consultants to assist where needed in the evaluation of county departments which the Commission will be undertaking. It is a rare opportunity for those in government to support an evaluation of its own services. It would be false economy to rely solely on volunteers and

7

a very limited, though capable, staff.

If dependent solely on the evaluated department and its personnel for their information, they run a risk of presenting a limited and biased picture. Oversight has long been the forgotten function of many legislators. The Board of Supervisors of Santa Barbara County has, in this ambitious plan, an opportunity to demonstrate that they are committed to a serious evaluation of the county human services suppliers, including those supplied by the county itself. It would be futile to begin such a project without the enthusiastic support of the elected officials, including financial support.

Much greater effort should be made to get broader citizen participation in all the functions of the Commission. The crucial meetings the Commission holds to discuss policies they will follow in their funding decisions each year, are as important as the meetings at which final recommendations are made. As the Commission begins the evaluation of the county departments and makes recommendations on integration and coordination, the need for public input will be even greater. The Commission and staff should commit themselves to a greater effort to reach out to the community, and examine their current program to see if there are changes in publicity, time of meeting, format of meeting, etc. which inhibit greater public participation.

Once the Commission has completed its evaluation of all human services in the County, including the county departments, it can only completely fulfill its mandate by becoming actively involved in seeing that identified human needs are being met effectively and efficiently. This would mean seeking out solutions and programs, in being an initiator not a reactor, in actively seeking other sources of funding and in fact taking on the responsibility of insuring that human services needs are met in the County.

Advocacy to see that human service needs are met is implied in every one of the charges to the Commission. Such advocacy can and should be *foremost in the role the Commission plays in the County. However, advocacy should be done with the maximum information which completing their charge will give them, and only then will it be credible to the community and to the elected officials and not just advocacy for advocacy's sake.*

CITIZENS' TASK FORCE

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

"Over-all where citizens have become active, local officials have found there is a strong community consensus that funds should be spent primarily for neighborhood preservation, house rehabilitation, stimulating private investment and essential human services."

Andrew H. Mott, The Future of Citizen Involvement in Community Development, pg. 26, Citizen Participation Certification for Community Development, National Association of Housing and Redevelopment Officials, Washington, D.C., 1977.

CITIZENS' TASK FORCE ON COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

TABLE OF CONTENTS

PART I

Recommendations for Change - A Compilation 65

I. When was the Citizens' Task Force formed? 70

II. Why was the Citizens' Task Force formed? 70

III. The Federal Mandate for Citizen Participation in CDBG 70

IV. Federal Standards for Citizen Participation in CDBG 71

V. Implementation of Citizen Participation in CDBG in Santa Barbara 72

Schedule of Application Process 74

VI. Structure and Composition of the Citizens' Task Force 75

PART II

Summary of Interviews and Recommendations for Change 77

I. Representation 77

II. Continuity 79

III. Training/Orientation 81

IV. Staff/Task Force Relationship 84

V. Task Force Impact on Funding 86

  Evidence of Funding 90

  Process of Funding 93

VI. Task Force Impact and Involvement in Other Objectives of Citizen Participation 96

CITIZENS' TASK FORCE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

RECOMMENDATIONS FOR CHANGE

In the spirit of increasing the value and impact of the Citizens' Task Force as an avenue for citizen participation the following recommendations for change are offered. They are a compilation of the recommednations which will be found in context throughout the remainder of this section on the Citizens' Task Force.

RECOMMENDATIONS - On Representation and Continuity

There should be a concerted effort made to broaden the representation on the Citizens' Task Force on CDBG to bring it more into conformity with the demographics of the City of Santa Barbara. Using 1975 census data for income and 1970 census data for ethnic characteristics, the Community Development staff identified 40% of the city as low-moderate income and 27% of the city as minority. To bring the Task Force representation into line with these percentages would mean the appointment of 2 additional members in the low-moderate category and 2 additional members in the minority category. This information should be forwarded to the City Council with the recommendation from the Task Force and the staff, that as vacancies occur on the Task Force the City Council should appoint residents who are low-moderate income, minority or both.

RECOMMENDATIONS - On Training and Orientation

A uniform and formal orientation/briefing program should be set up and provided to all new membes. The staff and the Task Force members should work together to decide on the content and the implementation of such a program. Although the Community Development office and records are open and always available to members of the Task Force (and the public), members should be encouraged to study information and background material.

The Community Development and NPC staff has already identified the need for training, particularly for the NPC's. They are moving to set up training programs and to cooperate in community efforts to coordinate training resources. This effort should be supported and encouraged by the staff and by the City Council in order to insure that citizens who volunteer their time have an opportunity to be as effective as possible in their advisory capacity.

Training in the areas of planning and decision-making in city government would be particularly useful for the NPC's. It is in these areas, as one staff member pointed out, that the destinies of the neighborhoods are often decided, rather than in the more immediate needs that the CDBG funding addresses. Help in community surveying, organizaing, community outreach, strategizing and program planning were all identified by staff and citizens, as areas where NPC's could benefit from some assistance and training.

It should be the responsibility of the NPC staff and the NPC's to assess their training needs and decide together how such training might most successfully be carried out.

To meet the frequently expressed need and desire for more first-hand knowledge of Community Development programs and projects in the targeted neighborhoods, the Task Force and the staff should set up on-site visits, field trips, meetings, etc. which would acquaint all Task Force members with the CDBG projects---both on-going and contemplated. There are many possibilities for accomplishing this goal. Several which might be considered are:

1) Full scale "go-see" trips with staff and NPC membes acting as guides

2) Holding Task Force meetings at different sites, hosted by NPC's who would brief the Task Force on their particular needs, projects, etc.

   This would give an opportunity for NPC members in that area to meet the total Task Force and observe their monthly meeting.

3) Providing maps of Santa Barbara with Community Development projects and targeted neighborhoods numbered or keyed to facilitate self-guided tours. Brief explanations of each keyed feature could accompany the map.

RECOMMENDATIONS - On Training and Orientation

It is recommended that after one year of existence the recent re-organization, which entails having NPC staff report to the City Administrative Office (instead of the Community Development staff), be examined and evaluated by the Task Force and the NPC's. The evaluation should include such factors as the degree of coordination between the NPC staff and the Community Development staff of the city, and the degree of freedom and independence the NPC staff has in working for neighborhood programs and needs.

Since the basis of most of the concerns about staff stems from the role the Community Development staff plays in and during the critical funding process, it is recommended that Task Force representatives be included in the deliberations of the City's Technical Staff's CDBG budget meetings.

Discussions between staff and Task Force should be held with the intent of developing clearer guidelines as to each's role, especially in the areas of administration and policy-making.

RECOMMENDATIONS - On Impact on Funding

It is recommended that each year of the projected fifth and sixth year CDBG funding receive the same scrutiny and public discussion as is given each year's recommendations. There was little agreement that the fifth and sixth year projections adopted this year recieved more than cursory examination by the Task Force and the NPC's. The fact that plans may already be underway based on these projections should in no way inhibit the process of a thorough and widespread community discussion of how the monies should be spent.

With the increased level of support given the NPC's, they should conduct neighborhood meetings and surveys where alternatives and priorities can be explored by the majority of those in the targeted neighborhoods. Recommendations arrived at through this process can then reflect what the neighborhoods see as their major needs, not what someone else sees and justifies because "it's good for them".

RECOMMENDATIONS - On Process of Recommending Funding

It is recommended that two CDBG budget recommendations---one by the Citizens' Task Force, and one by the City's Technical staff---continue to be presented to the City Council. Each set of recommendations should be accompanied by a rationale of each budget item, plus a written response to any differences in the two budgets. The Task Force should meet at least once with the City's Technical staff for a thorough discussion of one another's recommendations and attempt to minimize the differences in the two budgets.

Members of the City's Technical staff should be available upon request to attend deliberations of the Task Force and provide them with technical assistance.

In additon of CD and NPC staff, a member or members of the Task Force should be designated to attend the Technical staff's CDBG budget deliberations.

It is recommended that the scheduling of the meetings of both the NPC's and the Task Force should be advanced to avoid the yearly recommendation meetings during the busy Christmas season. It not only works a hardship on the members of the task Force, the NPC's and the Staff, but acts as a deterrent to widespread involvement and participation by citizens in the targeted neighborhoods and in the total community.

RECOMMENDATIONS - On Task Force's Impact and Involvement in Other Objectives of Citizen Participation in the CDBG Program

There should be greater support and technical assistance given the NPC's in their efforts to survey their neighborhoods, especially in the newer NPC's. This would increase both the participation in needs assessment and funding recommendations and the validity of such surveying.

There should be clearer and more explicit explanations, both written and verbal, given to the Task Force regarding all program revisions and amendments.

The public performance hearing should be held later in the fiscal year in order to give programs funded in July an opportunity to develop a "track record" before they are evaluated.

The Task Force and staff should work together to strengthen the citizen monitoring of CDBG projects. Given a 17-member board and the fairly limited number of projects funded by the CDBG, it would not appear to over-burden the citizen group to undertake a more formal, periodic monitoring of projects.

CITIZENS' TASK FORCE ON COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (CDBG) IN THE CITY OF SANTA BARBARA

PART I - History

I. When was it formed?

In 1975 the City of Santa Barbara applied for its first year Community Development Block Grant (CDBG) funds and created the Citizens' Task Force on Community Development Block Grants (Task Force).

II. Why was it formed?

Although the Department of Housing and Urban Development (HUD) regulations under Title I of the Housing and Community Development Act of 1974 do not require local governments to establish any form of advisory committe to help select priorities and plan Community Development programs they do require that there be active citizen participation in a variety of prescribed areas. The city recognized that these regulations and standards could best be carried out by the setting up of a citizens' board, which included representation from the targeted areas.

III. The Federal Mandate for Citizen Participation

The act states that:

1) Citizens must be provided with adequate information concerning the amount of funds available for proposed community development and housing activities, the range of activities which may be undertaken, and other important program requirements.

2) A minimum of two public hearing are required for the purpose of obtaining the views of citizens on community development

and housing needs. These hearings are to be held at times and places which permit broad participation.

3) Citizens must be given adequate opportunity to articulate needs, express preferences about proposed activities, assist in the selection of priorities and otherwise participate in the development of the application.

4) The grantee must develop and make public a plan to implement the citizen participation requirements.

5) The grantee must certify that it has solicited proposals from groups representing low and moderate income people and responded to these proposals.

6) Grantee must certify it has provided citizens with an opportunity to comment on the Community Development performance of local government.

7) Upon receiving advice from HUD that the application has been accepted for processing, the applicant shall make reasonable efforts to inform citizens involved in or affected by the local community development programs that the application has been subitted and is available to interested parties upon request. Any person desiring to assert that any portion of an application is plainly inconsistent with generally available facts and data may submit such documentation to HUD.

8) Applicants must provide a process for community-wide participation by its citizens. For applicants with a population of 50,000 or more, such as Santa Barbara, the community must also provide a process for neighborhood level participation in areas where a significant amount of Block Grant activities are planned or are taking place.

IV. Federal Standards of Citizen Participation

The methods which encourage, support and provide for Santa Barbara's citizen participation in the Community Development Block Grant application process and programs shall meet the following standards as set forth in the federal regulations:

1. All aspects of citizen participation shall be conducted in an open manner with freedom of access for interested persons;
2. There shall be involvement of low and moderate income persons, members of minority groups, residents of areas where a significant amount of activity is proposed or ongoing, the elderly, the handicapped, the business community, civic groups and individuals

which are concerned about the program. Where the applicant (City of Santa Barbara) chooses to establish, or has established, a general community-wide citizen advisory committee, there shall be substantial representation of low and moderate income citizens and members of minority groups. Similarly, where the City chooses to establish or recognize neighborhood advisory committees in areas where low and moderate income persons or members of minority groups reside, there shall be substantial representation of such persons;

3. The City shall make reasonable efforts to ensure continuity of involvement of citizens or citizen organizations throughout all stages of the program;

4. Citizens shall be provided adequate and timely information, so so as to enable them to be meaningfully involved in important decisions at various stages of the program; and

5. Citizens, particularly low and moderate income persons and residents of target area neighborhoods, shall be encouraged to submit their views and proposals regarding the Community Development Block Grant Program.

6. Local governments must provide technical assistance to citizen groups, especially those representing lower income neighborhoods, to help them prepare proposals and statements of views.

7. Citizens must have an advisory role in policy decisions regarding program implementation, and an opportunity to assess the performance of the applicant's grantees and contractors.

8. Citizens must be involved in decisions on amendments and other changes to the various elements of the annual application.

V. Implementation of Citizen Participation in the Annual Application for CDBG Funds

The following narrative and the schedule of activities outlines how both citizens and the advisory board are involved in implementing citizen participation in the CDBG funding process. The schedule (Exhibit 1) is taken from a brochure prepared by the Community Development Department of the City of Santa Barbara for distribution to the public.

The general public receives notification of information on the

Annual Application, major revisions and amendments, through the media, and when appropriate, in mailout packets distributed to key organizations and at convenient locations witin the city; has the opportunity to offer proposals, recommendations and comments at scheduled City Council Public Hearings and at meetings of the Community Development Task Force and the Neighborhood Planning Councils. Citizens with suggestions for use of Community Development Block Grant funds in one of the neighborhoods with a Neighborhood Planning Council should have the Neighborhood Planning Council discuss and review the proposal. CDBG staff serves as a reference source for locating additional technical assistance when needed for developing recommendations for the Annual Application.

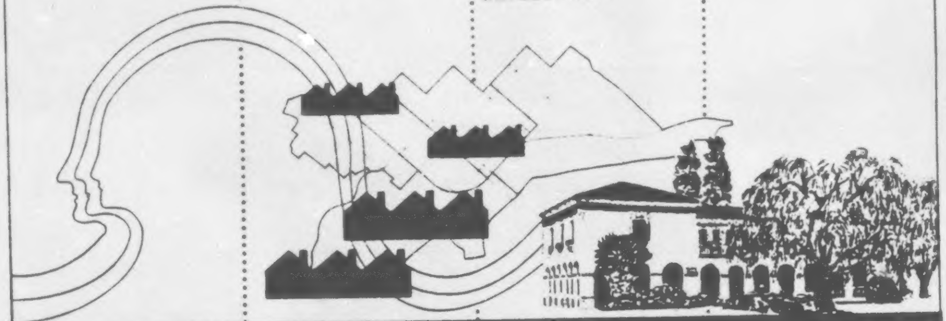
The Task Force acts as the offical advisory committee to City Council on Block Grant activities and provides continuity of citizen participation throughout all stages of the program. The Task Force encourages citizens and citizen groups to take the opportunity to use their meetings as a community forum for providing/seeking information and introducing projects on community development. The Task Force reviews and prioritizes all suggestions for use of Community Development Block Grant funds and makes recommendations to the City Council. The Task Force considers the recommendations of the Neighborhood Planning Councils in making their determinations.

The Neighborhood Planning Councils (NPC's) are City Council recognized neighborhood organizations comprised of residents living in the CDBG program's designated target areas. Santa Barbara's designated target areas comply with HUD's criteria for areas of blight and neighborhoods where the majority of the city's low to moderate income persons and minorities reside. Currently there are five NPC's.

The NPC's hold open monthly (plus occasional special) meetings in order to share common concerns of their neighborhood, to communicate with invited public officials, to participate in educational programs, and to plan and carry out neighborhood improvement activities (Block Grant related and other).

EXHIBIT 1 - Community Development Block Grant Program
Application Process - City of Santa Barbara
(City of Santa Barbara, Community Development Department)

BEST COPY AVAILABLE



	ORGANIZATIONS AND CITIZENS	NEIGHBORHOOD PLANNING COUNCILS	CITIZEN'S TASK FORCE ON COMMUNITY DEVELOPMENT	CITY COUNCIL	
SEPTEMBER		MONTHLY MEETING	MONTHLY MEETING		
	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION PROCESS BEGINS COMMUNITY DEVELOPMENT BLOCK GRANT INFORMATION PACKETS DISTRIBUTED				
OCTOBER	Publicity announcing CDBG Task Force and NPC meetings and public hearing dates and times.	MONTHLY MEETING. Neighborhood needs and project suggestions.	MONTHLY MEETING. Community needs and project suggestions introduced.	PUBLIC HEARING. CDBG Staff presentation of CDBG program performance, annual application process, eligible activities for funding, and role of citizen	APPLICATION DEVELOPMENT PERIOD
NOVEMBER	Publicity announcing CDBG Task Force and NPC meetings and public hearing dates and times.	MONTHLY MEETING. Final recommendations on NPC proposals prepared for Task Force.	MONTHLY MEETING. City Department proposals presented. NPC proposals presented.		
DECEMBER	Publicity announcing CDBG Task Force and NPC meetings and public hearing dates and times.	MONTHLY MEETING. Progress of CDBG annual application.	MONTHLY MEETING. Final recommendation on CDBG projects prepared for City Council Public Hearings in January.		
JANUARY	Public notices for CDBG Public Hearings.	MONTHLY MEETING. Evaluation of CDBG neighborhood projects.	MONTHLY MEETING. Discussion of the CDBG annual application.	PUBLIC HEARINGS TWO WEEKS APART 1). Proposal review, input from CDBG Task Force, NPC, Staff, Citizens. 2). Approval of projects for annual application. Authorization of Staff to prepare and submit annual application.	
FEBRUARY	News releases of current CDBG project performance.	MONTHLY MEETING. Evaluation of CDBG neighborhood projects.	MONTHLY MEETING. Annual CDBG performance review (to include Citizen Participation Plan update).		PERFORMANCE REVIEW
	ANNUAL COMMUNITY DEVELOPMENT BLOCK GRANT FINAL APPLICATION REVIEW BY AREA AND STATE ANNUAL COMMUNITY DEVELOPMENT BLOCK GRANT PERFORMANCE REPORT SUBMITTED TO HUD				
MARCH		MONTHLY MEETING	MONTHLY MEETING		
	ANNUAL COMMUNITY DEVELOPMENT BLOCK GRANT APPLICATION SUBMITTED TO HUD				
APRIL		MONTHLY MEETING	MONTHLY MEETING		FINAL STAGE
	HUD WILL ACCEPT CITIZEN COMMENTS/OBJECTIONS TO THE CDBG APPLICATION FOR 30 DAYS AFTER PUBLIC NOTICE				
MAY		MONTHLY MEETING	MONTHLY MEETING		
JUNE JULY AUGUST		MONTHLY MEETING	MONTHLY MEETING		
	BEGIN THINKING OF COMMUNITY DEVELOPMENT PROJECT SUGGESTIONS, IDEAS, AND PROPOSALS				

The Neighborhood Planning Council Coordinator and assistants are staff for these Councils. Beginning with the second year of the CDBG program in Santa Barbara, an increasingly larger portion of the CDBG funds have been budgeted yearly to provide for an office and a staff for the Neighborhood Planning Councils. In a recent staff re-organization, these NPC staff members were put under the jurisdiction of the Community Services Division of the City Administrative Officer (CAO). Prior to this the staff reported to the Community Development Department.

During program planning for the Annual Application, citizens or citizen groups are encouraged to seek information and contribute views at NPC monthly meetings. The Neighborhood Planning Councils review recommendations and suggestions for use of Community Development Block Grant funds proposed in their neighborhoods. The NPC's then prioritize the proposals to determine which ones best address the neighborhood's needs and make their recommendations to the Task Force accordingly. CDBG technical staff provides assistance to the NPC's in the preparation of neighborhood recommendations for Block Grant funding which are presented to the Task Force by the NPC Task Force.

VI. *Structure and Composition of the Citizens' Task Force on Community Development Block Grant Program (A Brief History)*

CITIZENS' TASK FORCE ON COMMUNITY DEVELOPMENT

In 1975, when the City of Santa Barbara applied for first year Community Development Block Grant funds, the City formed the Citizens' Task Force on Community Development (Task Force). The original 32 members appointed by City Council to the Task Force represented the City's neighborhoods and and business districts as drawn from the "Impacts of Growth Study, Neighborhood Fact Book" of 1974, and also included members of two organizations representing the special interest of lower income residents--Community Action Commission and La Casa De La Raza. One of the major activities of the Task Force was the development of the Home Rehabilitation Program and handbook.

In February 1977, the City Council authorized a Task Force recommendation to reorganize the membership with the purpose of:

1) assuring continuity of the membership (Council appointees at large-3 year terms of which officers were to be chosen); and

2) promoting representation related to current and proposed Block Grant activities in the City (Task Force appointed representatives of special interest groups or organizations related to CDBG target area needs or activities--in particular, the City recognized the newly created Neighborhood Planning Councils, minority groups, citizen and business organizations.)

In April 1978, the City Council in a general reorganization of all City Commissions and committees, once again reorganized the Task Force membership appointing representatives from the community at large using the following criteria: a total of 15 members with three appointments made from each of the five following categories:

1) Civic
2) Housing
3) Economic Development
4) Neighborhood Groups
5) Social Service

In November 1978 the Task Force was subsequently increased to 17 members with the addition of representatives of the two newly created Neighborhood Planning Councils---the Lower Westside and West Downtown Planning Councils.

Members of the Task Force are currently appointed by the entire City Council after being interviewed by a Council sub-committee. The Task Force operates as a committee of the whole, with an elected Chairperson. The Neighborhood Planning Council representatives on the Task Force supply the input from the targeted neighborhoods.

PART II - Summary of Interviews and Recommendations for Change

I. REPRESENTATION ON CITIZENS' TASK FORCE ON COMMUNITY DEVELOPMENT

Advisory board members, staff and elcted officials (See Appendix A) were asked how they felt about the broadness of representation on the Citizens' Task Force. They were specifically asked if they felt there was over-domination or under-representation by any group, philosophy or by any of the categories required on the Task Force such as economic development, neighborhood groups, housing, social service, etc.

A. CITIZENS' TASK FORCE - Compilation of views

The majority of those interviewed felt that the representation on the Task Force was not broad enough. They mentioned domination by:

1) the middle class
2) landlords
3) "status quo" people
4) Anglos
5) homeowners
6) "save the taxpayers' money" advocates

One member described it as being unrepresentative with "5 WASP women... all with the same views". Conversely members mentioned such under-represented categories as:

1) low-income people
2) Mexican-Americans
3) people with an understanding of the poor
4) women heads of households
5) blacks

One member who felt this way, added that "51% of the Task Force should be from the targeted areas".

However, there were a number of views expressed at both ends of the spectrum---those who felt the make-up of the Task Force was quite representative and those who felt that there was over-domination by targeted areas and renters---"who tend to be more transient and are looking for what they can get".

B. STAFF - Compilation of views

The majority of the staff interviewed felt that the addition of the two new Neighborhood Planning Council representatives recently had now made the Task Force a fairly good cross-section of the community. One staff member however, felt there was an under-representation of low-income and minority members on the Task Force.

The Community Development staff recommended to the City Council at the time they recommended the addition of two additional NPC representatives (November 1978) that the Council "make reasonable efforts to appoint residents who are low-moderate income, minority or both" in filling future vacancies. In making this recommendation, the staff cited goals for representation for low-moderate income and minority categories based on the demographics of the city.

The council acted positively on the appointment of 2 additional representatives of the NPC's to the Task Force, but has yet to demonstrate its commitment to bringing the Task Force representation in to line with the city's demographics. To do so would mean the appointment of two additional Task Force members in each of these categories, i.e., low-moderate income and minority.

C. CITY COUNCIL - Compilation of views

Although the majority of those interviewed voiced no real concern about the broadness of representation on the Task Force, only one member interviewed demonstrated a real working knowledge of the Task Force makeup and its representativeness. That member believed the Task Force was heavily over-represented with Anglo, middle-class members and lacked representation by low-income, minority members.

Even with the new method of selection of advisory board members by the City Council---at least four members of the Council must interview the applicants, who are then appointed by the Council as a whole---this member considered it unlikely that the under-representation could easily be overcome. "In looking for those who are best qualified and have the time available to serve, it is still likely that you will get middle-class, well-educated Anglos," this member of the Council added.

One Council member felt that the NPC representatives on the Task Force were not really representative of their neighborhood, but rather acted as the spokesperson of a small, but vocal group.

II. CONTINUITY

The HUD regulations and the City's Citizen Participation Plan state that: "The City shall make reasonable efforts to ensure continuity of involvement of citizens or citizen organizations throughout all stages of the program." After a major reorganization of the Citizens' Task Force took place in April 1978 the question of the above "continuity" was questioned by some members in the community. Current Task Force members and staff were questioned regarding their perceptions of whether or not there had been a problem regarding the "continuity of involvement" due to the reorganization.

A. CITIZENS' TASK FORCE - Compilation of views

Although most Task Force members felt they had insufficient knowledge and background to comment on the continuity question, the majority felt it was not a concern and that continuity had been maintained. One member who was concerned about it referred to the disruptive nature of the re-organization and to the doubts it raised among the NPC's and in the community generally, as to whether or not the re-organization was politically motivated.

B. STAFF - Compilation of views

Only one staff member felt that there was any problem concerning continuity of involvement.

RECOMMENDATIONS

(On Representation and Continuity)

There should be a concerted effort made to broaden the representation on the Citizens' Task Force on CDBG to bring it more into conformity with the demographics of the City of Santa Barbara. Using 1975 census data for income and 1970 census data for ethnic characteristics, the Community Development staff identified 40% of the city as low-moderate income and 27% of the city as minority. To bring the Task Force representation into line with these percentages would mean the appointment of 2 additional members in the low-moderate category and 2 additional members in the minority category. This information should be forwarded to the City Council with the recommendation from the Task Force and the staff, that as vacancies occur on the Task Force the City Council should appoint residents who are low-moderate income, minority or both.

III. TRAINING AND ORIENTATION

Members of the Task Force were asked what kind of orientation, if any they had received when they were asked to serve on the board. They were also asked if there were any areas of training that they and/or the Task Force would benefit from receiving---training that would make their involvement and the Task Forces's role more effectice. The staff was also asked for their views of training and/or orientation activities and needs.

A. CITIZENS' TASK FORCE - Compilation of views

Although the majority of members interviewed said they had been given some kind of orientation and briefing, most felt it was minimal, often just being asked to read the *Citizen Participation Plan* booklet developed by the Community Development staff.

A few indicated that they had not received even that minimal introduction to their role and the program.

The majority felt that a more specific, formal orientation plus some kind of training program was needed for Task Force members to be more effective. Some of the areas where they felt training was needed were:

1) understanding the city budget
2) organizing and strategizing, especially for the NPC's
3) effective lay leadership

In connection with training needs others mentioned the following:

1) need for greater encouragement to attend, and reimbursement for attending, appropriate conferences and seminars.
2) setting up of a separate and independent Citizen Participation staff in the city with support and training responsibilities.

One member voiced the feeling that some members appointed to board and commissions were simply not well-enough prepared for their role and felt that they should be involved in some kind of community work before being asked to serve on citizen commissions.

Several members said they felt there was no need for training, and that learning by being on the commission was the only effective training. One NPC member voiced the concern that if training was expected just the factor of time would preclude many NPC members from taking part and thus would tend to turn away those most needed for representation on the advisory board.

B. STAFF - Compilation of views

The staff all felt that though an effort was always made to give some orientation to new Task Force members, there was need to develop a more formal and comprehensive orientation. Several mentioned that there should be greater encouragement to Task Force members to take advantage of the considerable information and resources available at the Community Development office.

Community Development staff has taken the initiative in helping to set up training programs and this is being followed up by NPC staff. All staff expressed the need for training programs of various kinds with a number of them mentioning the need for greater on-site visits, field trips to projects, etc.

Some specific areas mentioned by staff as training needs were:

1) training for NPC's in how to conduct credible needs assessment in their neighborhoods
2) training for NPC's in basic government issues such as how planning decisions are made, how ordinances are developed, etc.
3) help for NPC's in developing greater outreach in their neighborhoods.

One staff member felt that although the NPC's would benefit greatly from training in such areas as how to run effective meetings, and how to effectively lobby, the best way to learn was in "real" situations and that overt "teaching was not always well-received or effective.

RECOMMENDATIONS

A uniform and formal orientation/briefing program should be set up and provided to all new members. The staff and the Task Force members should work together to decide on the content and the implementation of such a program. Although the Community Development office and records are open and always available to members of the Task Force (and the public), members should be encouraged to study information and background material.

The Community Development and NPC staff has already identified the need for training, particularly for the NPC's. They are moving to set up training programs and to cooperate in community efforts to coordinate training resources. This effort should be supported and encouraged by the staff and by the City Council in order to insure that citizens who volunteer their time have an opportunity to be as effective as possible in their advisory capacity.

Training in the areas of planning and decision-making in city government would be particularly useful for the NPC's. It is in these areas, as one staff member pointed out, that the destinies of the neighborhoods are often decided, rather than in the more immediate needs that the CDBG funding addresses. Help in community surveying, organizing, community outreach, strategizing and program planning were all identified by staff and citizens, as areas where NPC's could benefit from some assistance and training.

It should be the responsibility of the NPC staff and the NPC's to assess their training needs and decide together how such training might most successfully be carried out.

To meet the frequently expressed need and desire for more first-

hand knowledge of Community Development programs and projects in the targeted neighborhoods, the Task Force and the staff should set up on-site visits, field trips, meetings, etc. which would acquaint all Task Force members with the CDBG projects---both on-going and contemplated. There are many possibilities for accomplishing this goal. Several which might be considered are:

1) *Full scale "go-see" trips with staff and NPC members acting as guides*
2) *Holding Task Force meetings at different sites, hosted by NPC's who would brief the Task Force on their particular needs, projects, etc.*

   This would give an opportunity for NPC members in that area to meet the total Task Force and observe their monthly meeting.
3) *Providing maps of Santa Barbara with Community Development projects and targeted neighborhoods numbered or keyed to facilitate self-guided tours. Brief explanations of each keyed feature could accompany the map.*

IV. STAFF/TASK FORCE WORKING RELATIONSHIP

Members of the Task Force and Community Development staff which works most closely with the Task Force were asked what their perceptions were of the working relationship between the two.

A. CITIZENS' TASK FORCE - Compilation of their views

The majority of the members surveyed felt very positively about the working relationship between the Community Development and NPC staff and the Task Force. They mentioned such things as "serves us in an intelligent manner", "helpful", "mutual respect"; however, even among some of the most supportive statements was the reminder that this positive relationship had not always existed, and that it had evolved after some "learning" experiences.

The incident mentioned most frequently involved the funding for Lower State Street development which members of the Task Force felt was an example of staff not consulting with them prior to going to City Council.

Those on the Task Force who felt the staff/Task Force relationship was less than ideal were in the minority. They mentioned such things as "somewhat adversary, but the whole funding process contributes to this", "traditional adversary, but this is natural and healthy", "staff doesn't always consult Task Force". Several mentioned they felt the chair was too dominated by staff and that there was not enough questioning of the staff.

Several members who expressed very positive views of staff said they thought of the staff, rather than the citizen leadership of the Task Force, as their spokesperson. There was concensus among both supporters and detractors that the staff had a difficult role to play, largely because of the funding process.

The NPC staff was generally felt to be excellent. All the NPC representatives interviewed felt that strong, consistent staffing for the NPC's was absolutely essential to the success of the program and the carrying out of the intent of the legislation. There was some concern voiced about the independence of the NPC staff and a questioning of whether the recent re-organization of the staffing would affect that independence. One NPC member expressed a need for greater technical assistance for the NPC's during the funding period.

B. STAFF - Compilation of views

While acknowledging that some members of the Task Force continued to be suspicious of staff, all felt that the relationship had improved in recent times. They felt the nature of the funding recommendations was the chief source of misunderstanding of the staff and their role, since they were caught in the middle of the process. Several mentioned the need to continue defining roles of staff and Task Force, especially in regard to what constitutes administrative follow-through versus policy.

RECOMMENDATIONS

It is recommended that after one year of existence the recent reorganization, which entails having NPC staff report to the City Administrative Office (instead of the Community Development staff), be examined and evaluated by the Task Force and the NPC's. The evaluation should include such factors as the degree of coordination between the NPC staff and the Community Development staff of the city, and the degree of freedom and independence the NPC staff has in working for neighborhood programs and needs.

Since the basis of most of the concerns about staff stems from the role the Community Development staff plays in and during the critical funding process, it is recommended that Task Force representatives be included in the deliberations of the City's Technical staff's CDBG budget meetings.

Discussions between staff and Task Force should be held with the intent of developing clearer guidelines as to each's role, especially in the areas of administration and policy-making.

V. IMPACT ON FUNDING

Members of the Task Force, staff and elected officials were all asked for their perceptions of the impact they felt the Task Force has had on the funding pattern of the CDBG funds.

A. CITIZENS' TASK FORCE - Compilation of views

The majority of the Task Force members felt that the Task Force had made a great deal of difference in the funding pattern of CDBG dollars, especially in the past few years as they have become more knowledgeable and as the NPC's have grown in number and in influence.

Many of the members expressed concerns about the spending of CDBG monies on projects that they feel should be funded by the city. They mentioned such things as storm drains, street lighting, sidewalks, restoration projects, downtown expansion, etc. as things which they feel should be normal city expenditures, with CDBG monies going strictly to housing rehabilitation and grass-roots neighborhood re-vitalization and neighborhood projects. They expressed such concerns as, "...don't want our tax money to go for enriching business and landlords."

Several members expressed a concern about the increasing requests for CDBG funding which, in their opinion, are outside the priorities which the Task Force itself has set, i.e., housing and neighborhood revitalization. Some Task Force members said they regarded the human service type requests, although eligible for CDBG funds, as cutting into their high priority for housing needs for the low income neighborhoods.

A recent example would indicate that some city staff seems to support this view too, as evidenced by the lack of encouragement initially given to the Independent Living Resource Center's (I.L.R.C.) request for funding last year. There had not been any comparable human services type projects funded by the city's CDBG monies in prior years, and some city staff members gave the ILRC handicapped project little initial help or encouragement, expressing the concern that it would be "precedent-setting". Despite this and the fact that the city's Technical Staff did not include the ILRC in their recommendations for CDBG funding to the City Council, the Citizen's Task Force recommended and the City Council approved funding their project. The ILRC reported that the Community Development staff was helpful in working with them in the preparation of their proposal and in helping them to understand the regulations.

In general, Task Force members felt the citizen involvement in the CDBG process of funding had helped to keep the Community Development dollars focussed on housing and the revitalization of the targeted neighborhoods, including increased support for the neighborhood councils. There was mixed feeling about the wisdom of using CDBG funds for public works projects, even though such projects were exclusively for the targeted neighborhoods.

Task Force members generally agreed that the NPC's had played a major role in identifying neighborhood needs and then following through to convince both Task Force members and the City Council to fund such needs with CDBG monies. They mentioned such positive aspects of the NPC's as:

1) "essential if process is to work";
2) "represent the nucleus of self-determination at the grass-roots";
3) "good attempt to get democracy to work".

Although the majority of the Task Force members tend to respect the NPC's, a minority expressed some skepticism about the capability and direction of the NPC's. They brought up such things as:

1) the need to review the NPC's and their activities;
2) their feeling that the NPC's were too provincial in their needs and thinking;
3) the need for the NPC's to develop more self-sufficiency.

On the other hand, several members said they felt the NPC's had not yet realized their full potential, nor were fully aware of what that potential even was, such as the development of greater independence and the setting up of neighborhood corporations.

One member felt that the City Council was beginning to worry about the NPC's and their organization and political potential, asking themselves, "What have we started here?"

B. STAFF - Compilation of views

All staff members interviewed felt the involvement of the Task Force and the NPC's in the CDBG process had had great impact on the funding pattern. They felt the NPC's role had been especially important.

C. CITY COUNCIL - Compilation of views

The majority of elected officials interviewed felt the Task Force and the NPC's had had a major impact on funding patterns, and all those expressing this view pointed out the special role that the NPC's had played in the process.

A few voiced some concern, however, about the NPC's becoming too "politicized" and becoming too "issue-oriented" versus being identifiers of and advocates for neighborhood needs. One member felt the NPC's had more influence with the City Council when they confined themselves strictly to issues involving neighborhood needs. Another council member speculated that the NPC's were playing a positive role in dealing with tensions and/or community problems, perhaps because of their closeness to the community.

several members with differing political views expressed the observation that the question of impact and influence of citizens on decision-making was pretty much related to the sensitivity and attitudes of the council members.

Not all the comments heard from the elected officals were positive. One member felt that the NPC's represented only a small vocal minority in the neighborhoods, and didn't represent the total neighborhood in most of their views. This same member felt the involvement of the Task Force and the NPC's had little affect on the funding pattern; it would have been much the same without their input.

Another member questioned the whole concept of citizen participation, pointing out that s/he felt it often went "too far" and that therefore the whole concept of representative government was lost. A further indication of this member's philosophy was the statement that some citizen participation was all right but that "it should be kept to a minimum, because once it starts it tends to 'snowball' ".

D. EVIDENCE OF FUNDING

The bulk of the CDBG monies in the City of Santa Barbara have consistently gone into developing housing and housing re-habilitation programs for the targeted neighborhoods. However, as the NPC's have multiplied and matured there has been an increase in neighborhood related project and neighborhood support. Support for neighborhood organizations has gone from $8,600.00 in Fiscal Year 1977-78 to $36,000.00 in Fiscal Year 1979-80 (see Table 1).

Funding for neighborhood related projects has also increased during that period (except for FY 1977-78 when storm drain allocations accounted for a large portion of the capital expenditures). However, as the attached schedule (see Table 1) indicates, the fifth and sixth year projected funding for capital expenditures swings heavily back to Public Works spending.

Staff members and Task Force members were both asked how much involvement the Task Force had had in the fifth and sixth year projections. There were wide differences of opinion among Task Force members ranging from, "yes---a great deal of discussion" to "practically no discussion" to "staff had already worked it out". Though the majority of the Task Force members felt there had been a fair amount of discussion concerning the projected funding, there was general agreement that the concentration of effort had been on the current year. They all felt, however, that the projected funding was not a firm commitment and that it could be changed.

EVIDENCE OF FUNDING - CDBG PROGRAMS

NEIGHBORHOOD RELATED		PUBLIC WORKS RELATED	
1st Year Fiscal Year '76-'77			
None		None	
2nd Year Fiscal Year '77-'78			
$8,600	Neighborhood Organization Support	$485,000	Eastside Storm Drains
3rd Year Fiscal Year '78-79			
$10,000	Neighborhood Organization	$2,500	Franklin Center Walkway
$185,000	Westside Neighborhood Program	$24,000	Sunflower Park Redevelopment
$195,000		$26,500	
4th Year Fiscal Year '79-'80			
$36,000	Neighborhood Organization	$42,000	Lower Westside Storm Drain (Engr.)
$63,000	Lower Westside Annex	$85,000	Sidewalk Repair (Targeted Neigh.)
		$2,000	Street Lights
		$16,000	Mendolia Park Lights
$99,000		$145,000	
Projected 5th Year Fiscal Year ' 80-81			
$38,000	Neighborhood Organization	$380,000	Low. Westside Storm Drain (Constr.)
		$2,000	Street Lights (Target Neighborhood)
$38,000		$382,000	
Projected 6th Year Fiscal Year '81-82			
$30,000	Neighborhood Organization	$275,000	Upper West. Storm Drain (Engr.)
$50,000	Westside Neigh. Program	$2,000	Street Lights
		$30,000	Sidewalks
$80,000		$307,000	

When queried about the degree of Task Force involvement in and discussion of the fifth and sixth year funding, the majority of the staff said that this year's funding certainly had been the priority as far as time and input from the Task Force was concerned. However, with one exception, the staff said there had been good discussion of the projections for the fifth and sixth year also. The staff felt that there probably would not be much change in the projected funding, even though it was not binding and not a final document. They felt this kind of projection was necessary to allow for good planning and adequate lead time. They said that plans were already underway based on the fifth and sixth year projections.

RECOMMENDATIONS

It is recommended that each year of the projected fifth and sixth year CDBG funding receive the same scrutiny and public discussion as is given each year's recommendations. There was little agreement that the fifth and sixth year projections adopted this year received more than cursory examination by the Task Force and the NPC's. The fact that plans may already be underway based on these projections should in no way inhibit the process of a thorough and widespread community discussion of how the monies should be spent.

With the increased level of support given the NPC's, they should conduct neighborhood meetings and surveys where alternatives and priorities can be explored by the majority of those in the targeted neighborhoods. Recommendations arrived at through this process can then reflect what the neighborhoods see as their major needs, not what someone else sees and justifies because "it's good for them".

E. PROCESS OF RECOMMENDING FUNDING TO THE CITY COUNCIL

Currently, one of the most controversial aspects of the CDBG program for citizen participation in Santa Barbara is the practice of presenting the City Council with two sets of recommendations for the expenditure of CDBG---one from the City's Technical Staff, made up of representatives of various city departments, and another set of recommendations from the Citizens' Task Force.

The process of soliciting proposals from the community (largely through the NPC's), from the NPC's, and finally from the Task Force itself has appeared to work better each year.

Greater outreach to the community and to the neighborhoods themselves and greater technical assistance to the NPC's in the preparation of their proposals are areas that could be improved; but, by and large, the process has worked fairly well to involve the community, especially the targeted neighborhoods in the process. Although the "two recommendations" process has evolved in recent years to include some opportunity for communication about one another's priorities and an attempt to bring the two closer together before presentation to the City Council, there still exists a perception on the part of many of the people involved that it could be improved.

Members of the Task Force, staff and elected officials were all asked for their views of the current system and what, if any, suggestions they might have for improvement. They were also asked if they felt that the "adversary" system of presenting 2 budgets to the City Council had worked to the advantage or to the disadvantage of the Task Force recommendations.

1. TASK FORCE - Views of process of recommending funding

There was general dissatisfaction among members of the Task Force with the current system of recommending allocations of CDBG funds. Many conceded that it did work better this past year since there was time for at least one attempt to bring the Technical Staff's recommendations more in to conformity with the Task Force's priorities. However, they felt there was little communication between the two groups, despite repeated requests on the part of the Task Force to be present at the Technical Staff's budget deliberations.

The majority of the members of the Task Force felt that there should be a jointly arrived at Task Force budget with a great deal of opportunity for communication and input from the City's Technical Staff and that any meetings of the Technical Staff regarding CDBG funding should be open to members of the Task Force.

Several members however, felt that although there should be greater communication between the two groups (i.e., they should hear and consider one another's budgets, priorities and rationale), that the process of presenting two budgets to City Council had worked well and should continue. They felt it had made it open and clear as to the differences that existed between the two groups.

Most significantly, when asked if they felt this "adversary-two budget process" has worked to the advantage or disadvantage of the targeted neighborhoods, the majority of Task Force members said they felt it had worked to their advantage. Some added that the advantage was only sporadic depending on the make-up and philosophy of the Council, and that in the past especially, the Council had leaned toward the Technical Staff's recommendation and seemed to have more confidence in the staff recommendations.

One member expressed a fear that one joint budget would result in the co-option of the Task Force by the Technical Staff, especially given the staff's knowledge and background.

2. STAFF - Views of process of recommending funding

The Community Development staff, while all generally acknowledging the problems and difficulties of the current system, and the need to make some changes, had no agreement on what changes should be made. Two leaned toward a Task Force budget with Technical Staff input and assistance and/or a minority report from the Technical Staff. Two leaned toward keeping the two budget recommendations but with far greater communication during the development of the recommendations. Two budgets get "everything out on the table" and "make clear what the choices and decisions are for the Council," said one staffer.

All staff interviewed agreed that the two budget/adversary system had worked to the advantage of the Task Force recommendations, especially this past year.

3. CITY COUNCIL - Views of process of recommending funding

The majority of elected officials interviewed felt that the two budgets gave them maximum information and clear choices regarding CDBG priorities. One member said there should be a series of meetings between the Task Force and the City's Technical staff in order to prepare responses to one another's proposals. This information would give elected officials the kind of background they need to make decisions, the council member said, adding that such a procedure would diminish the community's paranoia that the Technical Staff has an inside track with the council or that the citizen's groups exert undue influence on the council.

One member preferred a single Task Force set of recommendations prepared with the Technical Staff's assistance and input.

One proponent of the two budget system felt that the process was not as important as the politics of the council members who must ultimately decide "who they will listen to", adding that "it will work only as well as the philosophy of the council allows it to".

RECOMMENDATIONS

It is recommended that two CDBG budget recommendations---one by the Citizens' Task Force, and one by the City's Technical staff---continue to be presented to the City Council. Each set of recommendations should be accompanied by a rationale of each budget item, plus a written response to any differences in the two budgets. The Task Force should meet at least once with the City's Technical staff for a thorough discussion of one another's recommendations and attempt to minimize the differences in the two budgets.

Members of the City's Technical staff should be available upon request to attend deliberations of the Task Force and provide them with technical assistance.

In addition to CD and NPC staff, a member or members of the Task Force should be designated to attend the Technical staff's CDBG budget deliberations.

It is recommended that the scheduling of the meetings of both the NPC's and the Task Force should be advanced to avoid the yearly recommendation meetings during the busy Christmas season. It not only works a hardship on the members of the Task Force, the NPC's and the staff, but acts as a deterrent to widespread involvement and participation by citizens in the targeted neighborhoods and in the total community.

VI. TASK FORCE'S IMPACT AND INVOLVEMENT IN OTHER OBJECTIVES OF CITIZEN PARTICIPATION IN THE CDBG PROGRAM

Task Force and staff were both questioned about the extent and impact of the Task Force's involvement in the following additional requirements for citizen participation:

1) identification of the needs of the community as they relate to community development

2) *advising City Council on application amendments and program revisions,*

3) *recommending guidelines to City Council for new programs to be administered with the Community Development Department using CDBG funds, and*

4) *monitoring of the projects and programs funded by CDBG.*

1. NEEDS

Both staff and citizens admitted their great reliance on the NPC's to assess neighborhood needs and priorities. Most NPC's reported that in addition to door-to-door surveying, there was an on-going dialogue about community needs. Task Force members said that other categories represented on the Task Force (e.g., housing, economic development) were expected to supply additional needs, but that in reality there was great reliance on the staff and the City's Technical staff in these categories also.

2. ADVISING ON APPLICATION AMENDMENTS

From questioning of Task Force members and staff, from observation and from evidence, it appeared that even when this requirement was temporarily dropped from the Federal regualtions it was carried out in Santa Barbara. Some Task Force members, however, did not always seem to be fully aware of taking part in approving these applications, even though staff presented discussion with pros and cons prior to each Task Force vote on amendments.

3. RECOMMENDING GUIDELINES TO CITY COUNCIL ON NEW CDBG PROGRAMS

From questioning of staff and Task Force members, and from observation, it appeared that in the planning stages of a number of new programs recently there was involvement of the Task Force in recommending guidelines for new CDBG programs. Such programs as co-op conversions, rehabilitation of rental units, a review of HUD's landbanking guidelines and a revision of the rehabilitation handbook were brought to the Task

Force for input.

During the time that this evaluator observed the Task Force a rehabilitation proposal for rental units was brought to them for input. The serious consideration, the pertinent questions asked and the level of discussion contributed positively to the proposal. From this discussion and from a similar review of the re-hab handbook observed, there appears to be a sincere desire to get input from the Task Force and an effort on the part of most members of the Task Force to "do their homework" and make a contribution in helping to shape new programs.

4. MONITORING OF PROJECTS

Among the Task Force members there was consensus that the NPC's were almost their sole source of citizen monitoring. They depended on them, they said, to follow, evaluate and report on projects in their neighborhoods; and yet, a number of Task Force members reported that they did not see the NPC's evaluations, and that reporting to the Task Force on projects was sporadic. Any other monitoring---rehabilitation, landbanking---was strictly a staff operation with periodic reporting to the Task Force for their approval. This line of questioning once again brought up the interest some council members had in visiting CD projects.

The current regulations call for a public performance hearing in October for programs which have just been funded in July. Staff said they felt this was too soon to make any reasonable judgments regarding performance, and that such hearings would be more appropriate and/or useful nearer the end of the fiscal year.

RECOMMENDATIONS

There should be greater support and technical assistance given the NPC's in their efforts to survey their neighborhoods, especially in the newer NPC's. This would increase both the participation in needs assess-

ment and funding recommendations and the validity of such surveying.

There should be clearer and more explicit explanations, both written and verbal, given to the Task Force regarding all program revisions and amendments.

The public performance hearing should be held later in the fiscal year in order to give programs funded in July an opportunity to develop a "track record" before they are evaluated.

The Task Force and staff should work together to strengthen the citizen monitoring of CDBG projects. Given a 17 - member board and the fairly limited number of projects funded by the CDBG, it would not appear to over-burden the citizen group to undertake a more formal, periodic monitoring of projects.

Three advisory boards in Santa Barbara City and County---the Citizens' Task Force on Community Development, the CETA Planning Council, and the Human Services Commission---were examined in this study. Each had unique strengths and weaknesses, but a number of threads emerged as common to all three boards. The following recommendations for change represent those "common threads" and have broad application for all such advisory boards. As with the specific recommendations for each advisory board, these suggestions are offered in the spirit of increasing the value and impact of citizen participation.

1. Greater efforts should be made by government and elected officials to inform the public about advisory boards and commissions and the role they play in decision-making. Elected officials should assume greater responsibility for publicizing vacancies on boards and commissions.

2. Applicants for boards should be given more specific information about the time commitment, responsibilities, and objectives of the advisory board for which they are being considered.

3. A greater effort should be made to inform elected officials of the current make-up of existing boards and the unmet needs for greater balance and representation on such boards. As vacancies occur both the advisory board and their staff should assess the board's representativeness and make recommendations to the appointing body or elected official regarding any deficiencies in representation.

4. Greater attention should be given to replacing non-functioning members of advisory boards. When three unexcused absences of advisory board members occur, elected officials should be notified and then a specific set of actions on the part of the elected official and/or body should follow.

5. Specific efforts should be taken to urge industry, unions, business, etc., to give "released time" for citizens to serve on governmental advisory boards. This policy should include the "working ranks", not just the traditional "loaned executive". Educating and encouraging this kind of social responsibility on the part of industry should be jointly undertaken by citizens' organizations and elected officials.

6. All boards and commissions should carefully re-evaluate their meeting times and places to determine how this impacts on citizens' willingness and ability to serve on boards, and how it affects interested citizens' ability to attend meetings. Careful consideration should be given to the effect that meeting times and places may be having on the broadness of representation on the advisory board.

7. Greater attention should be given to recognizing and commending citizens for their volunteer roles on advisory boards. The time, commitment, and expertise contributed by citizens should receive greater acknowledgement from citizen groups, elected officials, media, and community leaders.

8. Daily and weekly schedules of all government bodies' meeting times and places should be published in the major newspapers in the community. This could become a regular feature with a highly visible placement in the paper. For example, notices in a special "Government Box" would be limited to government bodies with the daily re-iteration that they are open to the public, along with the daily listing of a city or county telephone number to call for confirmation of the time and place of the meeting. Where possible, highlights of the agenda, written in clear, understandable language, should be included. Responsibility for getting this information in a timely fashion to the press should rest with one individual in both the city and the county government. This section would be an excellent place to list notices of vacancies on all boards and commissions with information as to how to apply for such openings. A regular feature of this type would be a very effective means for raising public awareness and encouraging citizen participation in the governmental process.

9. Agencies, potential seekers of funds, program operators, and clients who are interested in each of these federal sources of funding should be encouraged to attend all meetings of these three advisory boards, not just appear at funding times. In this way they could develop a better understanding of the advisory board, its members, its process, and its responsibilities which extend beyond the recommendation of funding.

10. Citizens attending advisory board meetings should find agendas of the meeting readily available at the meetings. When appropriate, brief explanations of advisory board business, their process of decision-making, and the opportunity for input from the public should be given at each meeting.

11. A serious effort should be made to see that the composition of advisory boards, especially the three boards mentioned here, reflect the demographics (i.e. income, ethnic origin, age, etc.) of the city and/or county.

12. Reimbursement for such expenses as baby-sitting, transportation, meals, etc., should be available to members of advisory boards in order to encourage broader representation on boards.

APPENDIX A

Interviews were conducted with the following:

HUMAN SERVICES COMMISSION

14 members - Human Services Commission
4 members - Human Services Staff
5 members - Board of Supervisors, Santa Barbara County

COMMUNITY DEVELOPMENT BLOCK GRANT - CITIZENS' TASK FORCE

15 members - Citizens' Task Force on Community Development
4 members - Community Development Staff
5 members - Santa Barbara City Council

CETA PLANNING COUNCIL

10 members - CETA Planning Council
4 members - CETA Staff
5 members - County Board of Supervisors, Santa Barbara County

CLIENTS/CONSUMERS

15 Clients and/or consumers of programs (the three programs above).

NOTE: Some staff members, members of advisory boards, and city council members interviewed are no longer serving in official positions, but they were interviewed because that had been involved in the process during the past year.

APPENDIX B

Definition of human services adopted by Human Services Commission on January 5, 1978.

Human services are those services provided by either government or private non-profit agencies which fulfill the needs of an area's population in either tangible or an intangible way. They include, but are not limited to, probation, alcohol and substance abuse, health care, recreation programs and services, cultural programs and services, welfare, mental health, social services, employment and training, legal assistance, juvenile diversion, and delinquency prevention and control. Target populations may include such groups as low-income persons, ethnic minorities, senior citizens and the handicapped.

The goal of the Human Services Commission is to identify both service duplication and areas of unmet need in order to develop priorities for Santa Barbara County. Advocacy efforts during any specific period of time may concentrate on any or all service categories where duplication or unmet needs have been identified.

ABOUT THE AUTHOR

BARBARA MARGERUM is a past President of the League of Women Voters of Los Angeles. She also served on the National Board of the League of Women Voters; co-chaired a Carnegie Foundation funded survey of metropolitan government reform (Los Angeles County); produced public affairs programs for KCET-TV and KPFK radio, in Los Angeles.

Most recently, Barbara was on the staff of California Common Cause, where she was the State Executive Director.

BIBLIOGRAPHY

1. Arnstein, Sherry. A Ladder of Citizen Participation.Journal of the American Institute of Planners. Vol. 35 (July 1966), pp. 216-224.

2. Alinsky, Saul D. Reveille for Radicals. New York: Random House, 1969.

3. Cahn, Edgar S. and Passett, Barry A. eds. Citizen Participation: Effecting Community Change. New York: Praeger, 1971.

4. Citizen's Action Guide. General Revenue Sharing: Influencing Local Budgets. Washington, D.C.: Center for Community Change, 1978.

5. Citizen's Action Guide. Comprehensive Employment and Training Act-CETA. Washington, D. C.: Center for Community Change, 1979.

6. Johnson, Lawrence and Associates, Inc. Citizen Participation in Community Development: A Catalog of Local Approaches. Washington: Department of Housing and Urban Development, 1978.

7. Langton, Stuart, ed. Citizen Participation in America: Essays on the State of the Art. Lexington: Lexington Books, 1978.

8. Marshall, Patricia, ed. Citizen Participation Certification for Community Development: A reader on the citizen participation process. Washington, D.C.: National Association of Housing and Redevelopment Officials, 1977.

9. Mogulof, Melvin B. Citizen Participation: A Review and Commentary on Federal Policies and Practices. Washington: Urban Institute, 1970.

10. Nathan, Richard P.; Dommel, Paul R.; Liebschutz, Sarah F.; Morris, Milton, D. Block Grants for Community Development. Washington, D.C.:

11. O'Rourke, Tony. "An Inquiry and Insight into Public Policy-Making, the Decisional Process Relative to the Allocation of General Revenue Sharing Funds in the County of Santa Barbara, California. (Unpublished paper, University of California at Santa Barbara, 1977.)

12. Rosener, Judy."Citizen Participation: Can We Measure Its Effectiveness?" Public Administrative Review. September-October, 1978, pp. 457-463.

13. Rouder, Susan. American Politics: Playing the Game. Boston: Houghton Mifflin Company, 1977.

14. Spiegel, Hans B. C. ed. Citizen Participation in Federal Programs: A Review. Journal of Voluntary Action Research. Monograph No. 1, 1971.

15. Suchman, Edward A. Evaluative Research. New York: Russell Sage Foundation, 1967.

16. Terrell, Paul. The Social Impact of Revenue Sharing: Planning Participation and the Purchase of Service. New York: Praeger, 1976.